HUMBOLDT-UNIVERSITÄT ZU BERLIN

**Landwirtschaftlich-Gärtnerische Fakultät**

Schriftenreihe des Seminars für Ländliche Entwicklung

# Poverty and Food Security Monitoring in Cambodia

## Linking Programmes and Poor People's Interests to Policies

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**Study on behalf of:**

FAO Livelihood Support Programme, Sub-programme on Participation, Policy and Local Governance and

GTZ Rural Development Programme Kampot/Kampong Thom, Cambodia

Berlin, December 2005

**SLE** CENTRE FOR ADVANCED TRAINING IN RURAL DEVELOPMENT

## Impressum


| Publication Series by Centre for Advanced Training in Rural Development | |
|---|---|
| Editors | SLE – Seminar für Ländliche Entwicklung<br>(Centre for Advanced Training in Rural Development)<br><br>Humboldt-Universität zu Berlin<br>Hessische Str. 1-2, D-10099 Berlin, Germany<br><br>E-mail: sle@agrar.hu-berlin.de<br>Internet: www.berlinerseminar.de |
| Managing Editor | Karin Fiege, Seminar für Ländliche Entwicklung |
| Printers | Präsentation Plus<br>Landsberger Straße 363, D-12623 Berlin, Germany |
| Distributors | Seminar für Ländliche Entwicklung<br>Hessische Str. 1-2, D-10099 Berlin, Germany<br>sle@agrar.hu-berlin.de |
| 1st edition 2005 | 300 |
| Copyright 2005 by | SLE – Seminar für Ländliche Entwicklung<br>(Centre for Advanced Training in Rural Development) |
| ISSN<br><br>ISBN | 1433-4585<br><br>3-936602-20-4 |
| Cover photo | Offering Food at Wat Phnom, Phnom Penh,<br><br>Cambodia<br><br>Anke Schulmeister |

# Foreword

The Centre for Advanced Training in Rural Development (Seminar für Ländliche Entwicklung, SLE) at the Humboldt University in Berlin has been training young professionals in the field of German and international development cooperation for more than forty years.

Three-month consulting projects conducted on behalf of German and international cooperation organisations are an integral part of this one-year postgraduate course. In multidisciplinary teams, young professionals carry out studies on innovative future-oriented topics, and act as consultants in the field. During their field stay, special value is placed on working closely with diverse local actors and involving them in the work of the young professionals' team. The outputs of this „applied research" are designed to make an immediate contribution to the solving of development problems in rural areas.

Throughout the years, SLE has carried out over a hundred consulting projects in more than sixty countries. The results of these projects have regularly been published in this series.

In 2005, SLE teams completed studies in Peru, Guatemala, Cambodia and Niger. The focus of all consulting projects was on results orientation and poverty reduction.

The present study was commissioned by the Food and Agriculture Organization of the United Nations (FAO), Livelihood Support Programme, Sub-programme on Participation, Policy and Local Governance (PPLG) and the GTZ Rural Development Programme (RDP) Kampot/Kampong Thom, Cambodia.

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# Acknowledgements

The present consultancy project has tremendously benefited from the support of a great number of people directly involved in the different phases of the study. Without their support, the work would not have been possible.

Our deep gratitude first and foremost goes to the women and men in the eight study villages (plus in one pre-test village) in Kampot Province who spent their valuable time with us discussing and explaining their living conditions and the influences programme interventions have on their situation. Their availability during a very critical time of the year (transplanting period of rice), their friendliness and their patience were the key factors to the success of the field work.

The study team also owes many thanks to the representatives of the commissioning parties, Mr. Günther Feiler and Ms. Dagmar Kunze, Agricultural Policy Support Officer and Food Security Officer M&E of FAO Headquarters Rome, and Ms. Angelika Fleddermann and Mr. Georg Deichert, Team Leader and Advisor for Agriculture, Natural Resource Management and M&E of the GTZ Rural Development Programme (RDP) Cambodia. In Cambodia, the study team also received enormous support from His Excellency Nouv Kanun, Secretary General of the Council for Agricultural and Rural Development (CARD), Mr. Kimoto Tsukasa, the FAO Representative, Mr. Sao Sopheap, the Assistant FAO Representative (Programmes), and Mr. Peter Kaufmann, Team Leader of the Food Security and Nutrition Policy Support Project (the co-operating partner in this study). The openness, flexibility and constructive support as well as the material and financial assistance of these study partners throughout the process is very much appreciated.

During the preparation phase in Berlin and later in Cambodia, Mr. Kean Sophea, Team Leader of the National Programme for Food Security and Poverty Reduction, and Mr. Srun Darith, Director of Planning & International Cooperation of the Council for Agriculture and Rural Development, spent many working sessions and a lot of their free time with the SLE team. This contributed a lot to the understanding of the country context and the success of the preparation and implementation of this study. It also opened many doors in Cambodia. During the field phase in Phnom Penh and Kampot, the study team was supported by a team of Cambodian assistants. Mr. Oum Kosal, Senior Research Assistant and Team Leader, and five Research Assistants, Ms. Phann Dalis, Ms. Dav Sokunthea, Mr. Yin Dina, Mr. Sin Ratha and Mr. Nov Samnang. They helped with facilitation of

group discussions, key informant interviews, data collection, data analysis, translation and intensive discussions in the team. This collaboration built the essential bridge between the cultures and languages involved in this research study. The common work with our Cambodian partners and the relationships built are an unforgettable experience and an additional asset for the SLE team.

The study team members are also very grateful to the numerous resource persons of government institutions as well as international and national organisations whom they met in Germany and Cambodia who supported them with valuable insights into the subject matter and the country context. The discussions with them enhanced the data collection and analysis. Their critical questions helped to sharpen the presentation of the study results.

The national and international staff of the two study programmes/projects and of the collaborating partner at national and provincial level, i.e., the National Programme for Food Security and Poverty Reduction (FSPR), the Community Based Rural Development Project (CBRDP) and the Food Security and Nutrition Policy Support Project (FSNPSP), were very important partners and sources of information at field level. The team expresses its sincere gratitude for the time they spent in this collaboration.

Important support in providing information and reflecting on preliminary results was given by the National Focal Points of the PFSM study in the Ministry of Agriculture, Forestry and Fisheries, in the Ministry of Rural Development, in the Council for Agriculture and Rural Development and in the Ministry of Planning. The team thanks them for the enriching discussions.

The study team received crucial administrative and logistical support – provided in a very professional and friendly manner – from the staff of the FAO Country Office, the RDP Offices in Phnom Penh and in Kampot, and the GTZ Country Office in Phnom Penh. The team owes them sincere thanks. Special thanks also go to the two FAO drivers who accompanied the study team during the entire stay in Cambodia.

The team also thanks Mr. Christian Berg, who backstopped the study team during the consultancy project. His advice was very helpful. Finally, many thanks go to Ms. Helen Boeckh for her thorough proofreading of the English text.

# Executive Summary

## Background and Objectives of the Study

In the context of the Cambodian Millennium Development Goals (CMDGs), a large number of international partners support the Royal Government of Cambodia in addressing poverty and food insecurity in the country – problems which affect about one third of the Cambodian population. Various projects and programmes are now being implemented on national, provincial, district, commune and village level. Among others, the Food and Agriculture Organization of the United Nations (FAO) is supporting the Ministry of Agriculture, Forestry and Fisheries (MAFF) in implementing the National Programme for Food Security and Poverty Reduction (FSPR) in Cambodia. The German Federal Ministry for Economic Cooperation and Development (BMZ) through the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) is supporting the implementation of the Rural Development Programme (RDP) in Kampot and Kampong Thom Provinces. RDP is an integral part of the Community Based Rural Development Project (CBRDP), funded through a loan from the International Fund for Agriculture Development (IFAD). This project is implemented by the Ministry of Rural Development (MRD).

Together with major national stakeholders, the FAO Livelihood Support Programme, Sub-programme on Participation, Policy and Local Governance (PPLG) and GTZ RDP in Cambodia jointly commissioned a study on “Poverty Reduction and Food Security Monitoring – Linking Poor People’s Interests to Policies” (called PFSM hereafter). The CBRDP and the FSPR expressed their interest in strengthening the monitoring of poverty reduction and food security results of their development activities at the early stages of programme implementation. Furthermore, the commissioners emphasised the importance of developing a communication strategy that allows for feeding intervention results into national policies and strategies and helps to ensure the information flow between different administrative and political levels (national, provincial, district, commune, village). This approach is especially promoted by the FAO Livelihood Support Programme, Sub-programme on PPLG and the GTZ Food Security and Nutrition Policy Support Project (FSNPSP), the latter being a collaborating partner in this study.

The PFSM study has the objective that “National and provincial stakeholders apply a results-oriented M&E methodology for identification of intervention results and use this knowledge for policy dialogue and decision making.”. This objective is to be achieved by the following four outputs:

- A reliable and applicable methodology for results-oriented M&E for poverty and food security projects is developed and tested
- A report on results (outcome, impact) and results chains of selected project interventions of CBRDP and FSPR is available
- A communication strategy to feed information about intervention results and poor people’s interests into policy dialogue is developed
- An integrated report (the present study) is both elaborated and finally discussed with active involvement of relevant stakeholders

Both the objective and the outputs are expected to contribute to reducing poverty and achieving food security in Cambodia, i.e., the achievement of the CMDG I.

## Conceptual Framework

In the context of this study, poverty and food (in)security have been defined in the broader context of the sustainable livelihoods approach to describe the living conditions of the rural population, including poor people. A livelihood can be defined as capabilities, assets and activities required for a means of living. A sustainable livelihood can be defined as one which can cope with and recover from stresses and shocks, and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.

The PFSM study has to be seen in the context of the international discussions about results-based management (RBM), including results-oriented monitoring and evaluation (M&E). These concepts should support a more effective, efficient and equitable use of development funds in order to achieve the MDGs and other national and international development goals, and to efficiently orient programme/project interventions according to the needs of the target group. Results-based management is based on a strong notion of causality that is reflected in results chains. These show the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, reaching outcomes and impacts. As M&E based on results chains has some limitations, the PFSM concept of poverty and food security monitoring is based on a systemic approach. This approach combines participatory data collection methods with basics of “network and system thinking” in order to develop a M&E system that addresses the outcome and impact level of development activities, and at the

same time allows for the assessment of timely – and therefore monitoring relevant – information on the effects that interventions have on the livelihood *system* and thus most likely on the livelihood situation of (poor) people.

Communication for development – understood as systematic design and use of participatory activities, communication approaches, methods and media to share information and knowledge among all stakeholders in a development process – matters in order to ensure mutual understanding and consensus leading to action. It is part of the "policies, institutions and processes" of the currently discussed sustainable livelihood framework. Major elements of communication mechanisms for policy dialogue and decision making are relevant actors and the institutional framework, key messages und communication channels.

## The PFSM Programme and Study Context

The field work of the PFSM study was conducted in collaboration with the FSPR and CBRDP. The main objective of the FSPR is to increase the level of food security of poor Cambodian farmers to contribute to human security and reduce their poverty and vulnerability. Major programme activities include integrated farmer field schools with a diversity of topics and technologies identified by the farmers, field demonstrations, farmer field days, community micro projects and group savings.

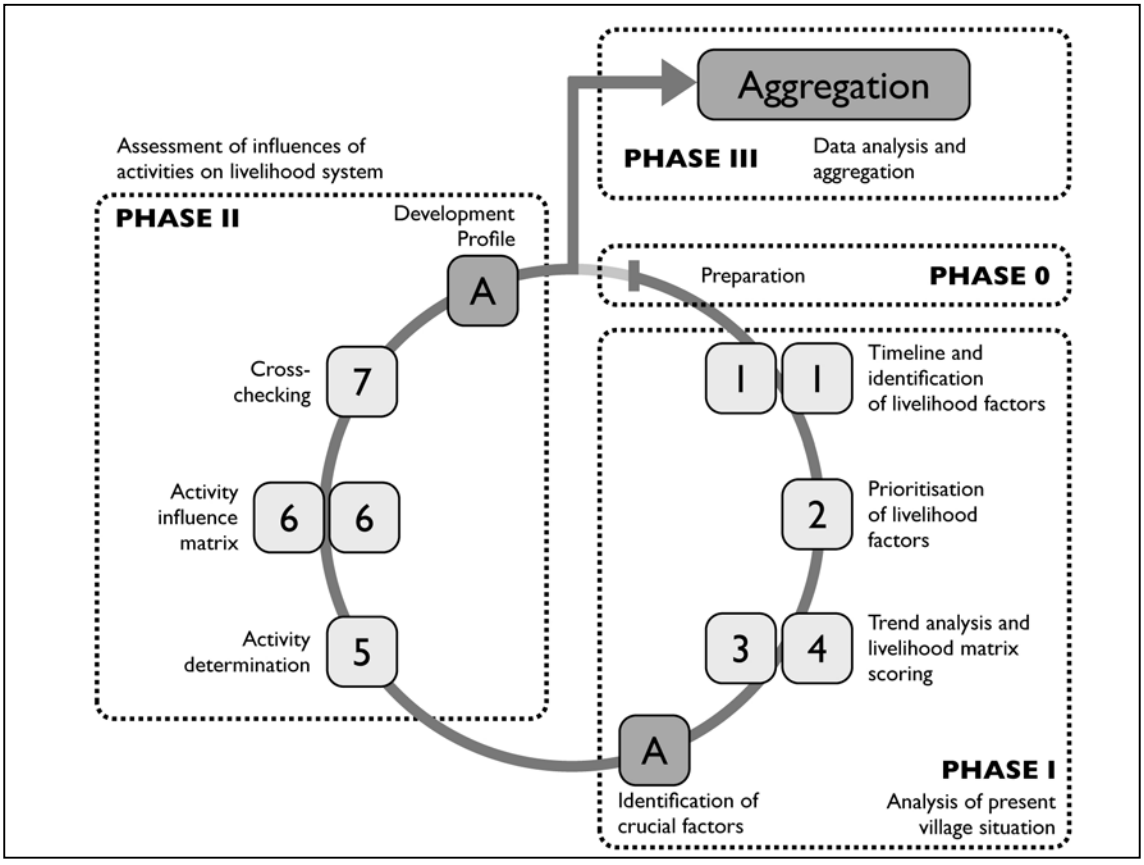
The purpose of the CBRDP is to assist poor households in the project area to sustain increased food production and farm incomes from intensified und diversified crop and livestock production, and increase the capacity of the members of the target group to use services available from the government and other sources for their social and economic development. The CBRDP activities carried out to meet the objectives include various components such as the promotion of decentralized development management, qualification of government and private service providers, rural infrastructure (roads, wells) and agricultural activities.

The PFSM study was conducted in eight villages in five districts of Kampot Province, which are either part of the FSPR and/or CBRDP target area. Villages were selected in close collaboration with the programmes' staff. Criteria included intensity and number of programme interventions and the poverty level in the village. The participants in the focus group discussions (which form the basis for the PFSM methodology) were selected by programme staff and/or local authori-

ties, based on a number of criteria given by the PFSM team, i.e., major stakeholders and poor people, gender balance, age balance as well as participation or non-participation in programme activities. The maximum number of participants per group was a total of 20 men and women per village.

## The PFSM Methodology – a Sequence of Data Collection and Analysis Tools

According to the requests of the study commissioners and partners, the developed methodology for results-oriented monitoring should be simple, down-to-earth, fast and reliable in order to allow for successful utilisation by the programme/project staff. The following methodological sequence was chosen, elaborated in a detailed manner, pre-tested and applied in the eight study villages.




The PFSM methodology relies on qualitative information gathered during focus groups discussions at village level and quantified during analysis: It reflects villagers' perception of their own situation. It applies an approach that puts the villagers in the expert-position for their respective situation.

The initial Phase 0 covers all preparatory steps for the application of the methodology. It starts by choosing the appropriate sample of villages depending on the detailed objectives, the context of the application and available resources. This phase also includes the set-up of the focus groups in each village, the administrative preparations as well as the forming of the survey team and its training. Last but not least, it covers a step for setting up or adapting a preliminary list of plausible livelihood factors for the socio-economic and agro-ecological situation of the study area.

Phase I aims at giving a picture of the present poverty and food security situation of the village and its dynamics as a system as reflected by livelihood factors. It thereby provides baseline information that can be collected before the beginning of interventions or even during project implementation. Phase I consists of four steps of data collection (timeline, collection and prioritisation of livelihood factors, trend analysis and livelihood matrix scoring), and two analytical steps (appraisal of the village as a dynamic system and identification of crucial livelihood factors). This analysis derives preliminary results necessary for the second phase of the PFSM methodology. The different steps are set up to keep data clear from bias (interpretations, expectations, wishful thinking, etc.) by villagers.

Phase II of the methodology has a focus on assessing the influences of specific project activities or interventions on the village system as identified in the first phase. This second phase allows for adaptation and flexibility depending on programme interventions. It consists of three data collection phases (introduction of programme intervention, activity influence matrix and crosschecking), and a final analytical step in which data and information are documented in a so-called Development Profile for each village. The Development Profile summarises all relevant data about the village livelihood system and the way programme/project interventions influence the system.

The final Phase III of the methodology is the phase of more detailed data analysis and of aggregation of the results. It consists of data entry and an aggregation exercise that can easily be automated by means of an Excel Spreadsheet. This aggregation methodology includes steps for the identification of the most important and crucial livelihood factors, the aggregated network for the most important livelihood factors, the aggregation of influences of programme/project activities and a portfolio analysis. This analysis generates information about the effectiveness and efficiency of programme/project interventions in addressing the crucial livelihood factors.

Strengths, weaknesses, opportunities and threats of the PFSM methodology are discussed, specific suggestions for its application in the context of the two study programme (FSPR and CBRDP) made, and considerations for the adaptation for other contexts provided.

## Results and Information Generated by the Application of the PFSM Methodology

The PFSM methodology generates specific results and information, and allows for a review and monitoring of the project planning logic using the results chains of programmes.

The Development Profile contains all the information provided by the beneficiaries during the survey, and the results of the analytical steps to be used for data analysis at village level and the aggregation for several villages. The profile consists of two sections: One displays the village situation as described by the eight most important livelihood factors identified by the villagers, and the influence of programme activities on these livelihood factors is displayed in the other. The combined information from section one and two of the Development Profiles form the basis for a qualitative and systemic results-oriented project M&E (especially at output, outcome and impact level). In addition, the information contained in the first part can also be used for local or communal planning because the listed livelihood factors describe the most important determinants of the present poverty and food security situation in the village. Any village or communal planning should therefore consider these factors and concentrate planned activities especially on those ones which show a negative trend and, maybe even more importantly, on the ones that were identified as crucial because they are the most influential on the whole system. Programmes or projects can also use the information of the first section of the development profile for planning or re-planning purposes.

The web of livelihood factors elaborated during the first analytical phase, graphically displays the various systemic influences of the most important livelihood factors. With this tool, both, the various influences can be identified and also those livelihood factors which are easiest to be influenced, and at the same time are highly influential on others as well (= crucial livelihood factors).

Another important product of the PFSM methodology is the portfolio analysis that displays the relative efficiency (=average influence on the system of crucial liveli-

hood factors) and the relative effectiveness (=average change of the system of crucial livelihood factors after the implementation) of a programme/project activity in comparison to other programme/project activities. The portfolio analysis provides programme/project management staff a quick overview of the relative performance (regarding efficiency and effectiveness) of all surveyed activities since the beginning of their implementation. This information makes the portfolio analysis a valuable tool for results-oriented project monitoring.

Results chains were elaborated for the agricultural related activities of the FSPR and CBRDP during the PFSM study in collaboration with the programme staff. Data collected through the PFSM methodology can be used to review and monitor these results chains. The information required can be found in the Development Profiles. Various levels of the results chains (output, use of output, outcome and impact) can be related to statements and remarks made by women and men during the group discussions. Thus, the hypotheses underlying the programme/project logics of FSPR and CBRDP were reviewed and confirmed through the PFSM study on an exemplary basis.

## Communicating Results – Mechanisms for Policy Dialogue and Decision Making in Cambodia

Policy dialogue faces strong limits both during the planning procedure as well as in the implementation phase. Lack of beneficiaries' participation in the planning and programme formulation, the perception of low power on the side of beneficiaries, inappropriate methods used during assessments in rural areas and low promotion of communication as a means to enforce development are discussed as major causes for insufficient effects of development efforts. Donors have become aware of this fact and have started to focus on the field of communication to overcome these obstacles. FAO Headquarters, for example, established a Communication for Development Group that focuses on human development as a means of "enlarging the capabilities, choices and opportunities of people, especially the rural and the poor to gain access to and control over factors that affect the basic needs essential to their lives". Empowerment of beneficiaries and enabling them to participate in the planning and allocation process through communication is seen as a fruitful strategy to contribute to poverty reduction and food security.

The decentralisation reform in Cambodia reshaped political processes. For the purpose of the PFSM study, the decentralised planning process is taken as an

example for identifying and analysing actors, messages and communication channels in policy dialogue and decision making because all administrative levels are involved and addressed on a regular base. The local level planning process consists of eleven steps at commune level and result in Commune Development Plans. These plans are summarised in a database at provincial level which is then transferred to the Ministry of Planning. However, the national planning refers more to international or national strategies (MDG, the Government's Rectangular Strategy), nationally conducted surveys (Socio-economic Survey) or sectoral planning requirements than to taking into consideration poor people's interests which were identified during the local planning procedures.

Looking at the vertical policy dialogue and decision making in the planning process currently in place, three communication gaps within the planning process, i.e., a village – commune gap, a commune – district gap and a provincial – national gap, as well as a number of obstacles referring to the different level of planning can be identified. However, a number of potentials also exist in order to strengthen the policy dialogue during the planning and decision making process. The PFSM study elaborates on the following three proposals to overcome identified gaps and to further strengthen the local level by applying the PFSM methodology:

1. Amendment of programmes'/projects' internal M&E and dissemination of best practices
2. Application of the PFSM methodology to the Local Level Planning Process on Commune Level, and
3. Aggregation of data for consideration in strategic planning on provincial and/or national level

Relevant actors, key messages and communication channels are identified for each of the proposals.

## Major Overall Conclusions and Recommendations

Apart from specific conclusions and recommendations related to the methodology and its application both on policy dialogue and decision making, the major overall conclusions of the PFSM study include:

- The methodology meets the criteria set by the commissioners: It is simple, down to earth, and provides detailed and reliable qualitative data on relevant

livelihood factors. The documentation format (Development Profile) is transparent. The methodology is able to assess certain effects of project/programme interventions at outcome and impact level. It can be applied in different project contexts and also in other sectors and regions. The application is fast.

- The methodology is oriented towards open results as its application provides villagers' perspectives of their livelihood situation. This people-centred, participatory approach empowers villagers to play an active role.
- The agriculture-related result chains of FSPR and CBRDP elaborated by the PFSM team in collaboration with programme/project staff can be checked with the PFSM methodology in an exemplary manner.
- The PFSM methodology allows qualitative outcome and impact monitoring of defined project/programme activities as well as qualitative evaluations regarding interventions in the field of poverty reduction and food security. Apart from applying the methodology for results-oriented M&E, it can also be used for initial as well as mid-term planning and developing overall development strategies.
- Best practices in project/programme interventions and most crucial livelihood factors as identified with the PFSM methodology can be fed into policy dialogue and decision making.
- Conclusions related to communication mechanisms for policy dialogue and decision making focus on ways to improve the linking of poor people's interests and findings on interventions' results to policies. Although the commune level has been the core focus of recent decentralisation efforts and Commune Councils (CC) play a key role within the local planning process, their capacities are still weak. Each commune tends to tackle its issues on its own. They can therefore not yet play their "bridging role" to policy making. Several Community Based Organisations (CBO) exit at village and commune level. They are trying to cope with basic needs of their members although they still do not play a major political role.
- Data collected on village level are gathered and presented at District Integration Workshops. Although the database is transferred to the Ministry of Planning on national level, the information is not considered when elaborating national policy strategies. The national planning process is more linked to ministries priorities and donors' offers.

These major overall conclusions lead to the following recommendations to the users of the PFSM study:

- The study commissioners are invited to integrate the PFSM methodology into their regular project/programme M&E activities. This enables one to complement the existing (quantitative) M&E data, which are mainly input, activity and output oriented, with more outcome and impact-oriented information.
- It is recommended that the commissioners communicate and disseminate the methodology and the results of the PFSM study to major stakeholders active in poverty and food security and results-based M&E in Cambodia and beyond.
- If the methodology is applied to a broader and/or representative sample of project villages, data can be aggregated in a reasonable way to support management decisions for steering and/or re-planning of projects/programmes. Aggregated information from Development Profiles can also be used for decision making within the government structure both on provincial and national level. This could be a contribution to ensure that villagers' interests will be considered in national strategies and thus help to bridge the gap between the local and national planning process.
- For improving the local planning process, it is recommended to integrate the PFSM methodology as a first step. This would ensure villagers' active participation in the planning.
- It is recommended to further address the CCs' relationships both with the villagers and with the district level. Besides trainings, organisational arrangements could strengthen and empower CC. Horizontal dialogue among CC has to be promoted in order to allow coordination in cross-commune issues and to strengthen the voice of the CC as representatives of the villagers, including the poor. Similarly, the voice of CBO should be strengthened.

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## List of Abbreviations

| | |
|---|---|
| **ADB** | Asian Development Bank |
| **AS** | Active Sum |
| **AusAID** | Australian Agency for International Development |
| **AWPB** | Annual Work Plan and Budget |
| **BIA** | Beneficiary Impact Assessment |
| **BMZ** | German Federal Ministry for Economic Co-operation and Development |
| **CAAEP** | Cambodia-Australian Agricultural Extension Project |
| **CARD** | Council for Agriculture and Rural Development |
| **CARERE** | Cambodia Resettlement and Rehabilitation Project |
| **CAU** | Contract and Adminstration Unit |
| **CBO** | Community Based Organisations |
| **CBRDP** | Community Based Rural Development Project |
| **CC(s)** | Commune Council(s) |
| **CD** | Community Development |
| **CDC** | Council for the Development of Cambodia |
| **CDP** | Commune Development Plan |
| **CDPD** | Commune Development Plan Database |
| **CDRI** | Cambodia Development Resource Institute |
| **CIAP** | Cambodian IRRI Australian Project |
| **CIDA** | Canadian International Development Agency |
| **CIP** | Commune Investment Plan |
| **CMDG(s)** | Cambodian Millennium Development Goal(s) |
| **CMP(s)** | Community Micro Project(s) |
| **CMT** | Component Management Team |
| **CNIP** | Cambodia Nutrition Investment Plan |
| **CPDDM** | Communication Mechanisms for Policy Dialogue and Decision Making |
| **CSD** | Council for Social Development |
| **CSF** | Commune/Sangkat Fund |

| | |
|---|---|
| **DAC** | Development Assistance Committee (of the OECD) |
| **DED** | Deutscher Entwicklungsdienst |
| **dev.** | development |
| **DFID** | Department for International Development of the United Kingdom |
| **DFT** | District Facilitation Team |
| **DHS** | Demographic and Health Survey |
| **DIW** | District Integration Workshop |
| **DOA** | District Office of Agriculture |
| **DOLA** | Department of Local Administration |
| **DoP** | Department of Planning |
| **DOT(s)** | District Outreach Team(s) |
| **DPAM** | District Priority Activity Matrix |
| **EC** | European Commission |
| **EIU** | The Economist Intelligence Unit |
| **EU** | European Union |
| **ExCom** | Executive Committee (of PRDC) |
| **FAO** | Food and Agriculture Organisation of the United Nations |
| **FFS** | Farmer Field School |
| **FSFS** | Food Security Field School |
| **FSNPSP** | Food Security and Nutrition Policy Support Project |
| **FSPR** | Food Security and Poverty Reduction Programme |
| **FU** | Finance Unit |
| **GDP** | Gross Domestic Product |
| **GTZ** | Deutsche Gesellschaft für Technische Zusammenarbeit |
| **HDI** | Human Development Index |
| **HQ** | Headquarters |
| **HRD** | Human Resources Development |
| **IDA** | Iron Deficiency Anaemia |
| **IDD** | Iodine Deficiency Disorder |

| | |
|---|---|
| **IFAD** | International Fund for Agricultural Development |
| **IFFS** | Integrated Farmer Field School |
| **IPM** | Integrated Pest Management |
| **IRRI** | International Rice Research Institute |
| **LAU** | Local Administration Unit |
| **LSP** | Livelihood Support Programme (of FAO) |
| **LTC** | Local Technical Committee for O&M of roads and wells |
| **MAFF** | Ministry of Agriculture, Forestry and Fisheries |
| **M&E** | Monitoring and Evaluation |
| **MAPP** | Method for Impact Assessement of Programs and Projects |
| **MDG(s)** | Millennium Development Goal(s) |
| **MEF** | Ministry of Economy and Finance |
| **MfDR** | Managing for Development Results |
| **MoH** | Ministry of Health |
| **MoI** | Ministry of Interior |
| **MoP** | Ministry of Planning |
| **MOWRAM** | Ministry of Water Resources and Meteorology |
| **MRD** | Ministry of Rural Development |
| **MVH(L)** | Most Vulnerable Households (List) |
| **NCSC** | National Committee for Support of the Communes |
| **NGO** | Non-Governmental Organisation |
| **NIS** | National Institute of Statistics |
| **NPFSPR** | National Programme for Food Security and Poverty Reduction |
| **NPRS** | National Poverty Reduction Strategy |
| **NPRSP** | National Poverty Reduction Strategy Paper |
| **NSDP** | National Strategic Development Plan |
| **OECD** | Organisation for Economic Co-operation and Development |
| **PBC** | Planning and Budget Committee |
| **PDAF** | Provincial Department of Agriculture and Fishery |

| | |
|---|---|
| **PDP** | Provincial Development Programme Kampong Thom |
| **PDRD** | Provincial Department of Rural Development |
| **PFSM** | Poverty and Food Security Monitoring – Linking Programmes and Poor People's Interests to Policies |
| **PLAU** | Provincial Local Administration Unit (before: POLA) |
| **PLG** | Partnership for Local Governance (UNDP Programme) |
| **POLA** | Provincial Office of Local Administration (now: PLAU) |
| **PPA** | Participatory Poverty Assessement |
| **PPLG** | Participation, Policy and Local Governance (sub-programme of FAO's LSP) |
| **PRA** | Participatory Rural Appraisal |
| **PRDC** | Provincial Rural Development Committee |
| **PS** | Passive Sum |
| **PSU** | Project Support Unit |
| **QUIM** | Qualitative Impact Monitoring |
| **RBM** | Results Based Management |
| **RDP** | Rural Development Programme Kampot/Kampong Thom |
| **RGC** | Royal Government of Cambodia |
| **SRDC** | South African Development Community |
| **Seila** | A Khmer language word approximating to «foundation, rock or stone». Seila is the title of the national decentralisation and de-concentration programme |
| **SHG** | Self Help Group |
| **SIDA** | Swedish International Development Agency |
| **SL** | Sustainable Livelihoods |
| **SLE** | Centre for Advanced Training in Rural Development, Humboldt University Berlin, Germany |
| **SPFS** | Special Programme for Food Security |
| **SRI** | System of Rice Intensification |
| **STF** | Seila Task Force |
| **supp.** | support |
| **STFS** | Seila Task Force Secretariat |
| **SWOT** | Strength, Weaknessess, Opportunities, Threats |

| | |
|---|---|
| **techn.** | technical |
| **TSU** | Technical Support Unit (of PRDC/ExCom) |
| **TWG(s)** | Technical Working Group(s) |
| **UNCDF** | United Nations Capital Development Fund |
| **UNDP** | United Nations Development Programme |
| **UNHCR** | United Nations High Commissioner for Refugees |
| **UNIFEM** | United Nations Development Fund for Women |
| **UNTAC** | United Nations Transitional Authority in Cambodia |
| **VAC(s)** | Village Advisory Committee(s) |
| **VAD** | Vitamin A Deficiency |
| **VDC** | Village Development Committee |
| **VLA** | Village Livestock Agent |
| **WFP** | World Food Programme |
| **WFS** | World Food Summit |
| **WUC(s)** | Water User Committee(s) |

# 1 Introduction

## 1.1 Study Background

Poverty and Food Security are being given increasing attention all over the world. The Millennium Development Goals (MDGs), which were declared in the 2000 Millennium Declaration of the United Nations have been widely accepted as the framework to measure development actions and development progress today. The “World Food Summit (WFS)” 1996 and the subsequent “World Food Summit - five years later” 2002 stressed the importance of the worldwide reduction of poverty and hunger as agreed upon by the International Community. The MDG framework has already been further adopted by a large number of developing countries with regard to their country specific situation. As poverty is mostly found in rural areas, agricultural and rural development are seen as being essential parts of any strategy to reduce hunger and poverty (FAO and UNDP 2003).

In reference to the given international framework, the Royal Government of Cambodia (RGC) has developed the Cambodian Millennium Development Goals (CMDGs) to address poverty reduction and food security. In addition to the eight MDGs of the international framework, a 9$^{th}$ goal was added which focuses on the clearing of mines and other unexploded ordnances (MoP 2003).

In their efforts to promote rural development, the government and its major international partners view the agricultural sector as crucial in working to achieve poverty reduction and food security. Therefore, a large number of international partners are active in the agricultural sector and rural development.

The Food and Agriculture Organization (FAO) of the United Nations, the International Fund for Agriculture Development (IFAD) and the Federal German Ministry for Economic Cooperation and Development (BMZ) – among other donors – support the RGC in its effort to achieve the CMDGs. Various projects and programmes are being implemented at the national, provincial, district, commune and village levels for this purpose. For example, FAO is supporting the Ministry of Agriculture, Forestry and Fisheries (MAFF) in implementing the National Programme for Food Security and Poverty Reduction (NPFSPR) in Cambodia. BMZ through the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) supports the implementation of the Rural Development Programme (RDP) in Kampot and Kampong Thom Provinces. RDP is an integral part of the Community Based

Rural Development Project (CBRDP), funded through a loan of the International Fund for Agriculture Development (IFAD). This programme is implemented by the Ministry of Rural Development (MRD).

Together with major national stakeholders, the FAO Livelihood Support Programme, Sub-programme on Participation, Policy and Local Governance (PPLG) and GTZ RDP in Cambodia jointly commissioned a study on “Poverty Reduction and Food Security Monitoring – Linking Poor People’s Interests to Policies” (PFSM). This study was conducted by a team of junior professionals and a senior team leader from the Centre for Advanced Training in Rural Development (SLE) at the Humboldt University of Berlin, Germany, called the PFSM team hereafter. One aim of this applied research study was the development of a methodology that enables the assessment of outcomes and impacts of project/programme activities within the areas of poverty reduction and food security. The CBRDP and the NPFSPR expressed their interest in strengthening the monitoring of poverty reduction and food security results of their development activities. To optimize the steering of programmes and projects, information and data for poverty monitoring need to be gathered more quickly than is the case with the current practice of using long term quantitative and qualitative surveys at household level.

Furthermore, the commissioners emphasised the importance of developing a communication strategy which enables the channelling of such findings into national policies and strategies and helps to ensure the information flow between different levels. This approach is promoted by the FAO Livelihood Support Programme, sub-programme on Participation Policy and Local Governance and the GTZ Food Security and Nutrition Policy Support Project (FSNPSP), which is a collaborating partner in this research study. In order to strengthen national capacity building for outcome and impact assessment and the national policy dialogue, the PFSM team closely cooperated with Cambodian partners.

## 1.2 Study Objectives

In collaboration with the commissioners of this study (FAO and GTZ), the PFSM team defined three core outputs to achieve the PFSM objective and overall goal at the end of the research study and a fourth output aimed at integrating and publishing the results and approach of the study. Table 1 outlines the hierarchy of objectives to be achieved at the end of the applied research study by the PFSM team.

**Table 1: The PFSM Study Objectives (Source: PFSM 2005)**

| | | | | |
|---|---|---|---|---|
| Overall goal | Reduction of poverty and food insecurity (CMDG I) | | | |
| Objective | National and provincial stakeholders apply a results-oriented M&E methodology for identification of intervention results and use this knowledge for policy dialogue and decision making | | | |
| Output | 1. A reliable and applicable **methodology** for results-oriented M&E for poverty and food security projects is developed and tested | 2. A **report on results** (outcome, impact) and results chains of selected project interventions of CBRDP and FSPR is available | 3. A **communication strategy** to feed information about intervention results and poor people's interests into policy dialogue is developed | 4. An **integrated report** is both elaborated and finally discussed with active involvement of relevant stakeholders |

## Utility and Utilisation of PFSM Study Results

How the findings of the PFSM study are going to be used is a key issue because the different groups involved have varied expectations and needs. These groups are the two commissioners of this study and several national stakeholders. In addition, there are two case projects in which interventions to support the poor are currently being undertaken. Three different interests can be identified:

- The FSPR perspective
  FAO, as supporting agency of the National Programme for FSPR operates in six provinces of Cambodia in selected districts and villages. The FSPR has not yet explicitly formulated results chains of its interventions. The M&E system concentrates on activity and output level. The FAO headquarters stated a clear interest in developing a communication strategy which would enable the results of this study to be fed into national policy dialogue.

- The CBRDP perspective
  Because an elaborated, mostly activity and output based monitoring and evaluation (M&E) system is already in place, the major aim for CBRDP stakeholders is the development of a reliable methodology for monitoring outcomes and impact of their activities. The key issues are how to assess the contributions project interventions are making to poverty reduction, and how to test implicitly formulated results chains based on project planning documents to gain reliable information on the logic of project interventions.

- The perspective of policy and decision makers, and international development organisations and donors
  Policy and decision makers as well as donors and agencies involved in the implementation of development assistance are under increasing pressure by the public to prove that the limited financial resources invested in development are well utilised and contribute to the achievement of globally agreed upon development goals. On the level of policy and strategic development, planning and decision making the major aim is to obtain reliable data on the situation of the population, esp. the rural poor, and on how the situation has changed due to interventions of projects/programmes. Nevertheless, it is still obvious that the difficulties of measuring impacts lead to an overemphasis on measuring inputs, activities and outputs. These data only provide limited information about actually achieved development results, although they provide viable information needed for operational steering of ongoing projects. Hence a complementary approach has to be developed to achieve impact level data collection and analysis with minimized effort and additional costs of M&E of development interventions.

The PFSM study addresses these needs of different stakeholders directly and/or indirectly involved in this research by:

- Making selected results chains of the project explicit
- Making available a methodology for qualitative appraisal of outcomes and impacts of development interventions on the livelihoods of the (poor) people
- Testing the developed methodology on two case projects in one province and coming up with recommendations for the two case projects
- Providing exemplary information on the results of selected project interventions, i.e., information necessary to support the management and steering of ongoing interventions and plan future interventions

- Identifying the present pattern of communication between rural poor and national policy and decision makers and information about obstacles and promoting factors of communication
- Identifying a communication strategy to feed the findings of this study (including poor people's interests) into policy dialogue at the provincial and national levels.

## 1.3 Study Structure

The present study is divided into seven main Chapters. The first Chapter provides an insight into the background and the objectives of the study including outputs, objective and overall goal as well as the utilisation of the study.

The second Chapter includes the conceptual framework with a description of the terms and concepts applied in the context of this study. These include poverty reduction, food security and the sustainable livelihood approach. Furthermore, it describes the results-orientation in project management with results chains and a systemic approach in results-oriented M&E as well as communication and policy dialogue as relevant in the context of this study.

The third Chapter focuses on the country, programme and study context. This includes a brief overview of the history of Cambodia and the present situation including political, socio-economic and ecological aspects as well as the present poverty and food security situation. In addition, the two projects being carried out by the two commissioners, FAO and GTZ, are presented. Finally, the operational field of this study is described by focusing on the districts and villages which were selected and by explaining the criteria used to select both the villages and the focus groups within the villages.

Chapter four is related to Output 1 of the PFSM study. It describes the methodology that was developed and used in the field. It contains the description of the challenges, the methodological sequence and basic steps of the methodology focusing on village level assessment and data analysis. The methodology for the aggregation of the village results, the utilisation of the methodology for the commissioners' projects and the adoption for other cases form an essential part of this Chapter as well.

Taking into account the methodology and the data provided, Chapter five refers to Output 2 of the study. It gives detailed information on selected results chains

of the FSPR Programme and the CBRDP. It presents how the data collected through the application of the PFSM methodology provides valuable information for project and programme management.

Chapter six is dedicated to Output 3 of the study. It focuses on mechanisms for communication to transfer the findings of Output 1 and Output 2 so that they can be considered in the policy dialogue and when decisions are being made which include poor people's interests. Therefore, based on the results of the ongoing decentralisation process, relevant actors and their relationship, the institutional framework as well as potentials of and obstacles for the existing policy dialogue are identified.

Chapter seven comprises general conclusions and recommendations.

# 2 Conceptual Framework

## 2.1 General Terms & Concepts

Although poverty and food security are the key terms and concepts of this study, the approach chosen by the PFSM applies the broader concept of sustainable livelihoods to describe the living condition and situation of the rural poor – a necessity when addressing impacts of development interventions. With this concept, both poverty and food security are covered under the umbrella of a broader approach. The following Subchapters therefore elaborate the key terms poverty and poverty reduction, food security, and the sustainable livelihoods approach.

### 2.1.1 Poverty and Poverty Reduction

According to Amartya Sen, poverty is a complex, multifaceted world that requires a clear analysis in all of its many dimensions. Human beings are thoroughly diverse. He further stresses that a poverty line cannot be drawn and then applied across the board to everyone the same way, without taking into account personal characteristics and circumstances. There are geographical, biological and social factors that amplify or reduce the impact of income on each individual. The poor generally lack a number of elements, such as education, access to land, health and longevity, justice, family and community support, credit and other productive resources, a voice in institutions, and access to opportunity (Sen 1982).

Based on a thorough analysis of socio-economic developments since the beginning of the 1990's (World Bank 2000), including poor people's understanding of poverty, the World Bank describe poverty as a multidimensional phenomenon with many faces, changing from place to place and across time. It is not just about consumption patterns, but an integral concept of human development. Poverty is hunger. Poverty is lack of shelter. Poverty is being sick and not being able to see a doctor. Poverty is not having access to school and not knowing how to read and write. Poverty is not having a job, is fear for the future, living one day at a time. Poverty is losing a child to illness brought about by unclean water. Poverty is powerlessness, lack of representation and freedom.

Such a broad definition of poverty also helps us to understand the way in which different aspects of poverty are not separate but interact with one another. Focusing on just one dimension may lead us to ignore crucial aspects of poor peo-

ple's lives. Poverty reduction is therefore understood as an interaction of a variety of economic, social, political and environmental changes, under the direction of government policy, playing out a variety of scales and timeframes (CSD 2002). This is why the PFSM team has chosen the sustainable livelihood approach (see Subchapter 2.1.3) to meet the demands of reducing both poverty reduction and food insecurity.

Poverty has to be looked at using a variety of indicators. These include, for example levels of income and consumption, social indicators, and indicators of vulnerability to risks and of socio-political access.

Poverty and food insecurity are closely interlinked in a vicious circle. Hunger causes poverty since it prevents people from realising their potential and making contributions to the progress of their society. Hunger leaves people weak and lethargic, reducing their ability to work and provide for their dependents. This vicious circle can continue from generation to generation, unless action is taken to break it. Ensuring food security is therefore a cornerstone in reducing poverty (Klennert 2005).

### 2.1.2 Food Security

According to FAO, food security can be defined as "When all people, at all times, have physical and economic access to sufficient, safe, and nutritious food to meet their dietary needs and food preferences for an active and healthy life" (www.fao.org). Food must not only meet the physiological requirements in terms of quantity, quality and safety but must be socially and culturally acceptable (Klennert 2005).

Food security is determined at the macro, meso- and micro level by availability which refers to the physical existence of food, for example, from one's own agricultural production and from the market. Access is ensured when all individuals within a household have sufficient resources to obtain appropriate foods for a nutritious diet (Riel et al. 1995). Accessibility is dependent on the level of a household's own production, own income, transfer incomes and food prices. The use and utilisation is determined by nutrition behaviour, caring practices, as well as health status of the members of a household. Stability of availability, access and utilisation are further very important aspects. All these dimensions are covered by the five assets of the sustainable livelihood approach as described below.

All three key elements, availability, access as well as use and utilisation of food are important for achieving a good nutritional status. In light of the fact that the PFSM commissioners called for a simple methodology to monitor poverty and food security effects, the concept of sustainable livelihoods was chosen because it provides a conceptual framework which covers both aspects.

### 2.1.3 Sustainable Livelihood Approach

A livelihood can be defined as composite of the capabilities, assets including both material and social resources and activities required for a means of living. A sustainable livelihood can be defined as one which can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (DFID 2004). Poverty with or without food insecurity can be considered as a "poor" livelihood outcome, based on an unbalanced set of livelihood assets, unable to sustain shocks, changes or trends.

The lives of rural people are centred on livelihood factors. Therefore, understanding these factors is important to provide a holistic view of any given development situation. They can be understood as factors which determine a situation, for example within a village as being bad or good, poor or not poor.

The basis of sustainable livelihoods approaches is that development activities can become more effective when there is a systemic understanding of poverty and its causes. Thus this approach opens up a wider cross sectoral view of the opportunities for development and how these relate to people's own aspirations and priorities. People, their aspirations and priorities are placed at the centre of this kind of analysis within an objective setting (DFID 2004).

Due to the multidimensional causes of poverty as defined in Subchapter 2.1.1, qualitative research can contribute to an improved understanding of livelihood issues by casting light on the diversity of rural livelihoods (DFID 2004). This applied research study assesses those livelihood factors which are important for the villagers and examines the influence of selected project activities on these identified livelihood factors. The methodology applied to examine these factors is elaborated in Chapter 4 in more detail.

While livelihoods in different regions in a country are likely to be different, those of rural households of a given province are probably in many ways similar.

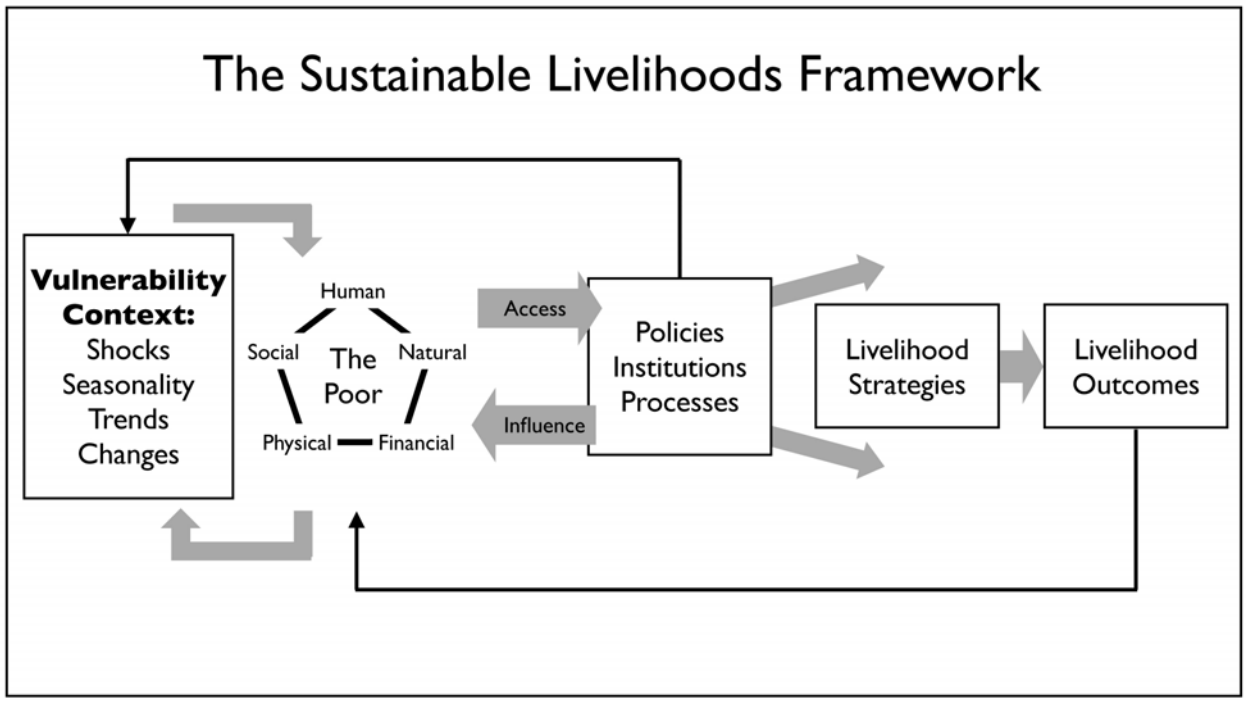
There is a set of core principles at the heart of the sustainable livelihood approach which should not only be used to guide poverty reduction interventions, e.g., development research, planning and implementing development activities and creating policies to support those activities. They should also be used to assess to what extent (both negative and positive) any intervention influences the livelihoods of people.

Research on the broad range of issues related to rural livelihoods is of great importance for policy formulation and the allocation of resources to support rural people overcome poverty and to achieve progress in socio-economic development on their own.

**The Sustainable Livelihood (SL) Framework**

The sustainable livelihood framework is one of the ways of organising the complex issues surrounding poverty using various categories of assets. DFID's livelihood framework is outlined below. It is a tool to use in planning new development initiatives and to assess the contribution to livelihood sustainability made by existing activities. It highlights what influences what, emphasising the multiple interactions which affect peoples' lives (DFID 2004). The sustainable livelihood frameworks and principles offer a useful tool and guide for measuring and interpreting outcomes and impacts of development activities.

**Figure 1: The Sustainable Livelihoods Framework (Source: DFID 2004)**




DFID's sustainable livelihoods framework identifies five types of aspects which help to keep people out of poverty:

- Human assets, e.g., skills, knowledge, ability to work and health
- Natural assets, e.g., access to land, forests, water and clean air
- Financial assets, e.g., savings, credit and other sources of investible resources, including migrants' remittances
- Physical assets, e.g., infrastructure such as roads, buildings, water supplies, equipment and transport
- Social assets, e.g., friends, family, social organisations and other people who can offer support

The sustainable livelihood approach helps us think holistically about what factors might make the poor vulnerable, which assets and resources help them thrive and survive, what policies and institutions impact their livelihoods, how the poor respond to threats and opportunities and what sort of outcomes the poor themselves aspire. The framework needs to be modified, adapted, and made appropriate to both local circumstances and local priorities (DFID 2004).

The livelihood principles formed the basis for this innovative PFSM methodology.

Livelihood monitoring as carried out by this PFSM research study offers a broader, more dynamic view of project impacts. It tries to link the project context with the outcomes and impacts, helping to explain “why” and “how” rather than just checking whether or not the intended project results have been achieved. The PFSM approach can be used to assess the effects of activities which have been undertaken, and how they have progressed in achieving the project purpose and whether or not these effects correspond to the needs identified in the SL analysis. The approach is also designed to ascertain the longer term and more widespread, intended and unintended consequences of an intervention, and to monitor progress towards broader livelihood goals. The focus lies in the assessment of whether or not projects have helped people have access to a greater and more balanced range of livelihood assets and whether or not they have reduced vulnerability and improved their livelihood outcomes.

The method to identify the human, natural, financial, physical and social assets used by the PFSM team during the survey for the operationalisation of poverty and food insecurity is described in Chapter 4, and the assets used in the study are listed in Annex 9.7.

## 2.2 Results-Orientation in Project Management

The second intended output of this study is titled “Report on results (output, outcome, impact) and on results chains of selected project interventions of CBRDP and FSPR is available, indirectly identifying good practices.” (see Table 1).

Terms like *results*, *results chains*, *output*, *outcome* and *impact* are expressions used in project management concepts such as “Results-Based Management” or the very similar approach called “Managing for Development Results (MfDR)” which is promoted by the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD). This Subchapter is a brief introduction of these concepts and terms in order to embed the PFSM study in the larger picture of outcome and impact orientation approaches.

“In the 1990s, the field of international development entered an era of reform and reformulation as the disparities between rich and poor countries increased. World leaders, in collaboration with the UN and other multilateral institutions, recognised the need for drastic measures to ensure that the developing countries

benefited from globalisation, and that development assistance funds were used equitably and effectively to achieve the global development aims embodied in the Millennium Development Goals (MDGs) and other national development goals." (DAC 2005:1-3).

In a series of international conferences and workshops participants from development/donor agencies and partner countries identified several aspects that are seen as crucial to ensure that in the future development activities will really lead to positive changes and improvement in developing countries. Among aspects like "harmonisation of procedures between donors" and "alignment of projects/programmes" the change of management practices was recognised as intrinsic if development activities are to be made more effective: "Development agencies, within their different mandates and modalities for providing country support, need to enhance their focus on results… . Better development results require management systems and capacities that put results at the centre of planning, implementation and evaluation. To steer the development process toward the goals they have defined, countries need stronger capacity for strategic planning, accountable management, statistics, monitoring and evaluation. A global partnership is essential to address the challenges of managing for results and reduce the burden on countries of multiple reporting requirements and monitoring and evaluation systems." (Marrakech Memorandum 2004 in: DAC 2005:1-6).

These multiple and high demands for a new way of management are met by an approach called *Results-Based Management* (RBM).

"Results-based management is an approach aimed at achieving important changes in the way that organizations operate, with improving performance in terms of results as the central orientation. It provides the management framework and tools for strategic planning, risk management, performance monitoring, and evaluation. Its main purposes are to improve organizational learning and to fulfil accountability obligations through performance reporting." (DAC 2005:1-8).

"[RBM is] … a management strategy focussing on performance and achievement of outputs, outcomes and impacts." (WFP 2003:27).

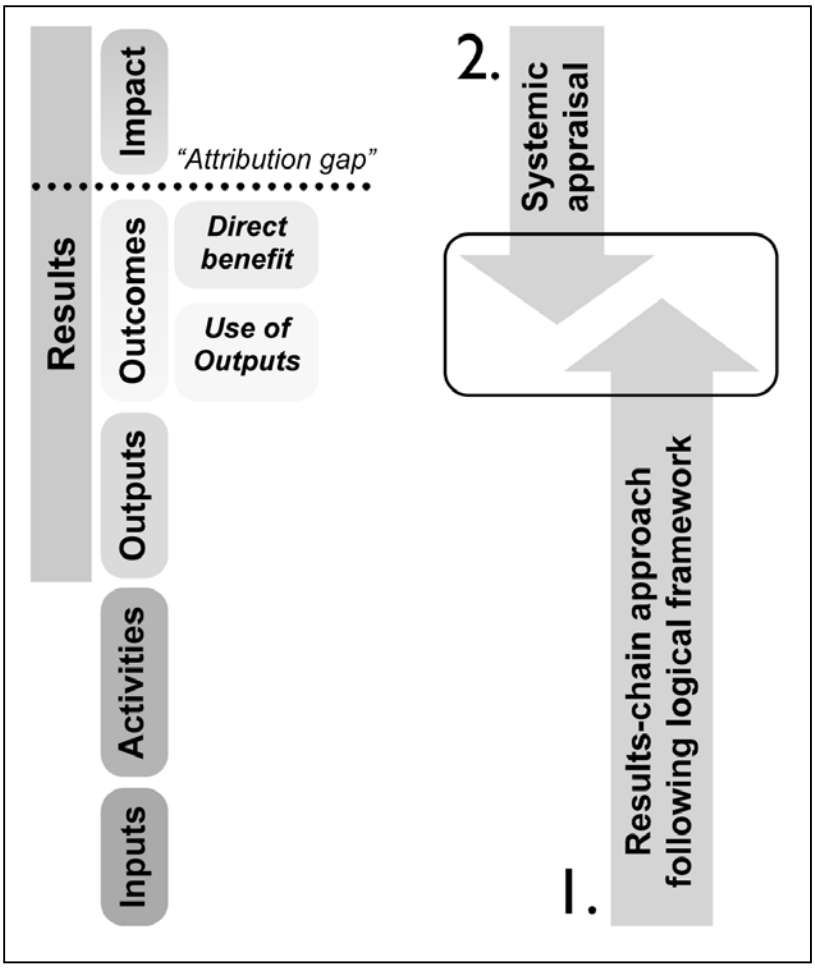
From the two definitions it becomes clear that RBM comprises a wide range of different management tools, all having a focus on results. Given the nature of the PFSM study, this Chapter will concentrate on the monitoring and evaluation (M&E) part of RBM rather than introducing the full range of methods and tools of RBM. According to the DAC, monitoring and evaluation are defined as follows:

**Monitoring:** “A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.” (DAC 2002:27f).

**Evaluation:** “The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program.” (DAC 2002:21f).

In the following, two approaches for results-oriented M&E will be introduced. The first is based on so-called results chains and is being widely discussed and introduced in development cooperation these days. The other is a systemic approach that emphasises the assessment of the overall situation and its trends and changes, and later relates these changes to certain development activities.

**Figure 2: Two Possible Approaches of Results-Oriented Monitoring and Evaluation (Source: PFSM 2005)**




### 2.2.1 Results Chains in the Context of the PFSM Study

"Results-based management is centred on a strong notion of causality. It theorizes that various inputs and activities lead logically to higher orders of results (outputs, outcomes, and impact). These changes are usually shown in a "results chain" or "results framework" that clearly depicts cause-and-effect relationships. Development results are usually understood as sequential and time-bound, and changes are linked to a series of management steps within the programming cycle for any development initiative (project or programme). Results-based management asks managers to regularly think through the extent to which their implementation activities and outputs have a reasonable probability of attaining the outcomes." (DAC 2005:1-8).

A results chain can be defined as "the causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback." (DAC 2002:33).

The definitions of the terms (development-)results, inputs, activities, outputs, outcome and impact mentioned in the above definition are displayed in Table 2.

**Table 2: Definitions of Important Terms Related to Results Chains (Sources: DAC 2002 and GTZ 2004)**

<table>
<tr><th colspan="5">Definitions</th></tr>
<tr><td rowspan="4">Results: The outputs, outcomes and impacts of a development intervention (intended or unintended, positive or negative)</td><td>Impact</td><td colspan="3">The long-term effects produced by a project/ program (The effects can be intended or unintended, directly or indirectly related to the project program, positive but sometimes also negative)</td></tr>
<tr><td rowspan="2">Outcome</td><td rowspan="2">The short- & medium-term effects of a project's outputs</td><td>Direct benefit</td><td>Observed positive development changes that show a causal relationship with the project</td></tr>
<tr><td>Use of outputs</td><td>Utilisation of products, goods and services provided by the project</td></tr>
<tr><td>Outputs</td><td colspan="3">The products (e.g. capital goods and services) and trained persons which result from the activities</td></tr>
<tr><td rowspan="2"></td><td>Activities</td><td colspan="3">The actions performed to produce specific outputs (by mobilizing the project inputs)</td></tr>
<tr><td>Inputs</td><td colspan="3">The resources (financial, human & material) used for a development intervention.</td></tr>
</table>

Apart from two terms, all definitions in Table 2 are adopted from the "Glossary of Key Terms in Evaluation and Results Based Management" compiled by OECD/DAC in 2002[1]. The two additional terms are "use of outputs" and "direct

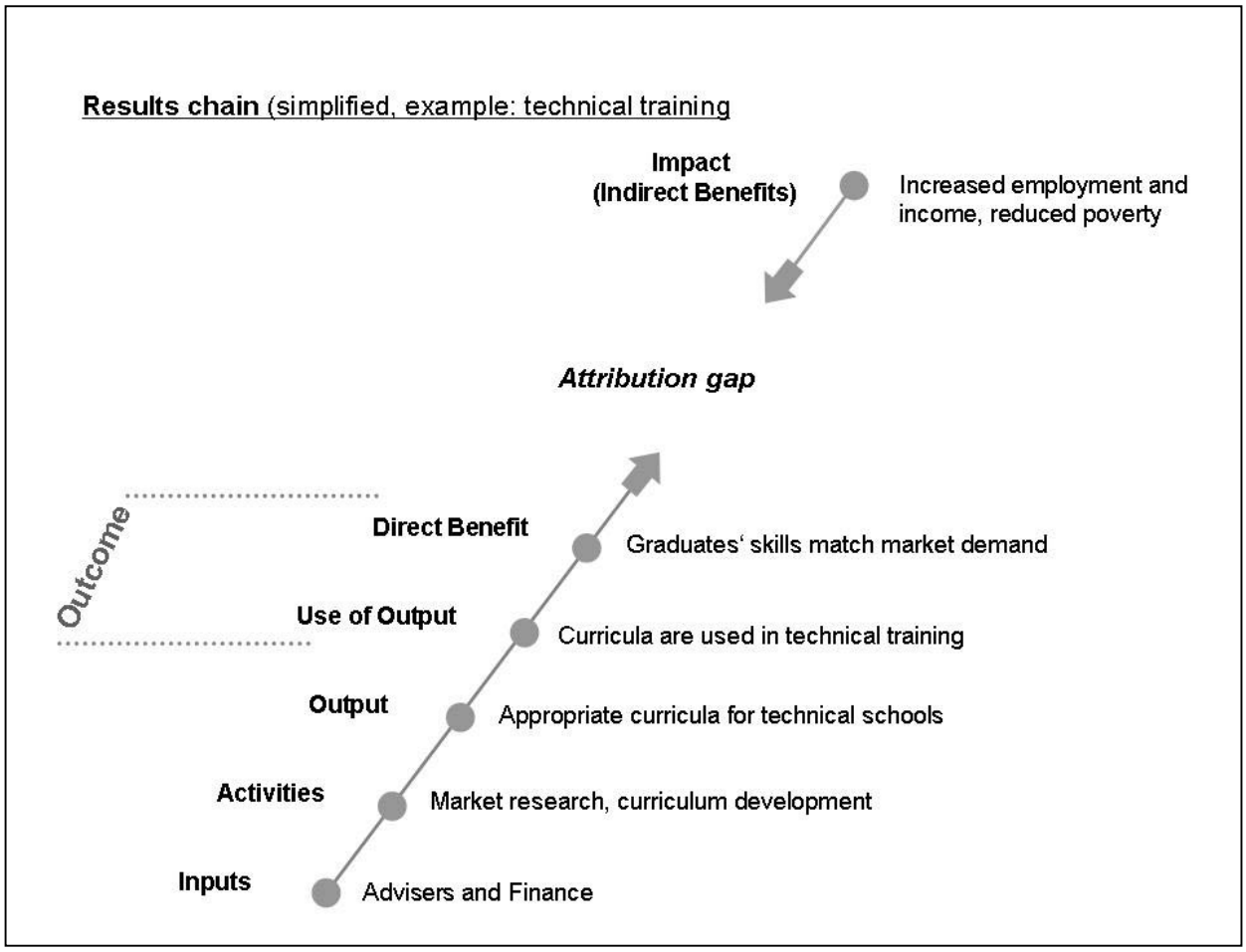
[1] The decision to use these definitions is based on the following considerations: Since the late 1990s discussions have focused on terms such as impact, results, development results of interventions to achieve the development goals which had been set up by various stakeholders. Several different approaches and terminologies arose out of these discussions resulting in confusion in the use of terms which hinders a focused effort to strengthen an results-orientation of development work. To address this problem several stakeholders made efforts to reduce the terminological confusion and to clarify the concepts. This was done under the lead of the OECD/DAC (see OECD/DAC 2002).

benefit", which represent two succeeding levels of outcome. They were adopted by the PFSM-team from the GTZ-publication "Results-based Monitoring – Guideline for Technical Cooperation Projects and Programmes" (GTZ 2004), as they represent two specific elements that contribute to a description of the complete sequence from input to impact. It is useful to distinguish these two levels because experiences with development projects/programmes have shown that project outputs do not automatically lead to short- and medium-term effects (= outcomes in the DAC understanding). If the target group does not utilise the products, goods and services provided by the project (= use of outputs), no outcome/direct benefit will ever be achieved[2].

Figure 3 shows a simplified example of a results chain, following the understanding of DAC/GTZ. Apart from the already introduced elements, it also displays the so-called *attribution gap*, a term that will be explained in Chapter 2.2.1.1.

[2] There is a wide spectrum of reasons why members of the target group might not use the outputs of a project/programme. For example, the outputs might be of bad quality or have negative side effects. Or people may reject them due to cultural, socio-economic and religious reasons.

**Figure 3: Simplified Illustration of the Elements and the Logic of a Results Chain (Source: PFSM 2005, based on GTZ 2004)**




#### 2.2.1.1 Results Chains and Logical Framework – The PFSM Understanding

The way of planning a project/programme plays a crucial role in RBM.

„Managing for results involves a change in mindset. Instead of starting with the planned inputs and actions and then analysing their likely outcomes and impacts, results oriented staff focuses on the desired outcomes and impacts (for example, on poverty reduction) and then identify the inputs and actions needed to get there." (DAC 2005:1-15).

The procedure of identifying and determining outcomes and impacts as well as the strategic steps (starting with inputs and actions) to reach them are documented in the form of a well-known tool called *logical framework* or *logframe* (see WFP 2003:14).

„[The logframe is a] management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention.“ (DAC 2002:27).

Results chains are very much related to logframes because they can be derived from them[3]. But while the logframe is quite detailed and includes additional information concerning indicators, risks and assumptions, the results chain is a graphical tool. It shows the assumed causal links between the inputs of a project/programme and the intended results (see Figure 3) in other words, it gives a graphic overview of the project/programme logic. This makes results chains an important basis for results-oriented M&E.

#### 2.2.1.2 Results Chains in Results-Oriented Monitoring and Evaluation

“The design and planning of any project/programme are usually based on results hypotheses, i.e. assumptions concerning the links between interventions and results. The results model (= logframe) also contains such assumptions, in that it shows how the project/programme outputs will be used, and which beneficial results are expected.” (GTZ 2004:11).

As the quotation implies, project planning is usually based on hypotheses and relations that seem to be plausible. Therefore it is important for results-based project/programme management to constantly screen the project progress in order to find out whether the hypotheses of the logframe were correct and the results will be achieved or whether the project/programme logic needs adjustment. Such a screening is the task of “results-based” or “results-oriented monitoring and evaluation”[4].

“Monitoring and evaluation (M&E) involves the systematic collection of performance information about progress toward results, which can then be used to help

[3] In fact the relations are so close that in some publications the two terms are used synonymously.

[4] In the relevant literature both terms are used and describe the same fact.

in management decision making. M&E provides strong tools and models for performance measurement, and has a long pedigree as a tool for increasing the effectiveness of development interventions. Since the 1990s, when results-based management approaches came into wider use in both country-level public sector institutions and international development agencies, M&E has been used more and more to assess results achievement. Today, results-based M&E is a major component of the MfDR toolbox that helps both countries and agencies systematically measure the progress of program and project outcomes." (DAC 2005:1-9).

An important element of almost all M&E systems is a set of indicators which try to describe and/or measure the condition or change of specific facts or issues. By combining a results chain (which displays the logic of a project/programme to reach outputs and impacts) with indicators (by assigning defined indicators to every element of the results chain) a widely recognised method for results-oriented M&E is created.

"Indicators and M&E strategies are logically linked to desired outcomes and impacts, and they demonstrate clearly whether or not the identified results are being achieved. The same set of indicators is used consistently throughout any program or project intervention to provide evidence of ongoing results performance. Ongoing M&E activities analyse the degree to which planned outcomes are actually attained so that implementation can be adjusted as needed." (DAC 2005:1-12).

#### 2.2.1.3 Potentials and Limitations of M&E Based on Results Chains

At present, results chains in the combination with indicators are a widely promoted instrument in results-oriented M&E of development projects/programmes. The chains provide a good overview of the complexity of project/programme logic. With a precisely formulated results chain in combination with accurate indicators it is also relatively easy for project/programme management to find out whether the logic is correct or at which points it needs rethinking and adjustment. Sound indicators also have the advantage of providing qualitative as well as quantitative data.

The need for indicators can also create limitations:

The applied indicators have to be very precise in a sense that the obtained information clearly refers to the parameter of the results chain the indicator is assigned to. This is relatively easy at the levels of input, activity and output. At all higher levels (outcome and impact) it becomes increasingly difficult:

“[I]nnovations do not emerge in a straight line starting with inventive scientists, and pass via extension workers to farmers ready to try out innovations. They are rather the result of social interaction. Comprehensive social or environmental changes that development cooperation seeks to bring about are always based on a dense web of actors with specific interests and varying degrees of power. And the more actors involved in a change, the smaller - from the statistical point of view - the "weighting factor" assigned to their individual inputs. This means that the greater the distance from the individual project/programme to the spheres where the changes take place, the more difficult it becomes to assign causal relationships to development results … Up to the level of “use of outputs”, attribution [of information provided by indicators] is relatively easy in most cases. However, as we climb up to the levels of “outcomes” and “impacts” external factors that cannot be influenced by projects and programmes become increasingly important. The attribution gap widens up to an extent where the observed changes cannot be directly related to project outputs any more.” (GTZ 2004:8).

For this reason projects/programmes usually put their system boundary[5] below the attribution gap at the level of direct benefit where observed development change can still more or less be directly related to interventions. However, projects/programmes are initially established to generate impact above the level of direct benefit and very often are asked to prove their contribution to reach the MDGs. This is a dilemma as far as results chains/indicator based M&E is concerned:

“In general, it is not possible to identify a causal relationship explaining how indirect benefits [= impacts] came about, as too many actors are involved to clearly isolate the effect of a single intervention. Nonetheless, highly aggregated devel-

[5] The system boundary marks the level in the results chain to which projects/programmes can be held accountable regarding the achievement of intended results.

opment results (for instance progress made towards achieving the Millennium Development Goals) need to be kept in view." (GTZ 2004:8).

To address this dilemma of linking project/programme interventions to impacts, a recommendation to mangers is to rely on so called "plausibility hypotheses":

"[Managers are expected] to provide plausible hypotheses on the project's or programme's contributions to overarching development results." (GTZ 2004:8f).

This is where the dog might start chasing its own tail: Plausibility hypotheses are used to show that a project/programme design, based on logical hypotheses, creates impact. But even if a project/programme was able to identify a set of indicators which, apart from measuring impact, also allows one to exactly identify the exclusive contribution of a specific intervention, there still might be another problem: "Data collection is expensive, so select only those indicators that represent the most important and basic dimensions of the results sought." (WFP 2003:17).

To look at impacts like, e.g., increased incomes or reduced poverty, one may be able to draw on national statistics or census data. But, to relate them clearly to a project/programme intervention they have to be very detailed and representative all the way down to the actual regions where the project is implemented. In many developing countries this kind of data is of limited availability. In addition, it is often collected in great intervals only, so that it could only be used for evaluation purposes, but not for continuous monitoring.

Another problem of creating an M&E system based on results chains and indicators is that results chains only provide a limited view at the complex cause and effect relations concerning, e.g., poverty, food security and (rural) livelihoods respectively. Results chains only represent a limited model of selected parameters which assumingly influence poverty. Admittedly, in sound project/programme logic these assumptions will show a high degree of plausibility. Nevertheless, they remain assumptions. Even if the monitoring system enables the project/programme management to find out that some of these assumptions prove to be wrong and that there is a need for adjustment, one might not always know what the necessary adjustments should be to keep the project/programme on track to reach the intended results.

Taking into account all these limitations of the results chain and indicator based M&E approach, the PFSM-study has developed a new methodology complementing the results chains with a systemic approach in order to bridge the attri-

bution gap and make project/programme intervention related M&E possible at all results levels in an open and participatory manner.

### 2.2.2 Applying a Systemic Approach to Results-Oriented M&E

As described above, the conventional approach applying the results chain logic in results-oriented M&E has several limitations. The core methodological challenge of results orientation – the attribution of effects of certain activities to actual changes of the living conditions for the poor – remains unsolved. The complex realities of actual life with its multidimensional and multidirectional cause-effects linkages, with reinforcing and balancing feedback loops are only described in a very simplified manner by results chains. Despite the usefulness of the logframe and results chain approach for planning of projects, its limitations for results oriented M&E are significant.

**Turning results chains upside-down**

Another approach to results-oriented M&E is applied by a method called “MAPP - Method for Impact Assessment of Programmes and Projects” (Neubert 1998 and 2004). This approach uses a more participatory process and turns the results chain logic of M&E upside-down. As described in Figure 3, it starts by assessing the livelihood situation of the poor and its trends and changes. It is this situation that a project intervention wants to impact on in order to trigger actual changes. In a second step, the method strives to assign effects of certain interventions or activities to the observed changes of the livelihood situation.

This approach seems to be more suitable for assessing outcome and impact level effects of project activities. Nevertheless, it also has limitations and shortcomings. First and foremost, the application of this methodology relies on already surfaced actual changes of the situation, i.e., on actual impacts. Because these kinds of impacts are usually only achieved on a mid- or long-term basis, the approach is of limited usefulness for *monitoring* of project effects. MAPP needs actual changes of the situation that can be attributed to the respective project activities. Monitoring is meant to provide immediate and up-to-date information on whether or not an activity is *on track* to achieve actual changes to assist management in project steering. It should be applicable from the moment the implementation of a project activity starts. Once an outcome or impact has surfaced, it is usually too late to adjust project steering towards better or other effects.

**Analysing the livelihood system to find the steering wheels**

With respect to these facts, the PFSM methodological approach goes one step further and uses the participatory mindset of MAPP and basics of “network thinking” (Vester 1976) or “systems thinking” (Forrester 1960) to develop a M&E system that addresses the outcome and impact level and at the same time enables the estimation of timely – and therefore monitoring relevant – information on the effects, interventions (may) have on the livelihood *system* and therefore most likely later on the livelihood situation of the poor.

“Network thinking” or “systems thinking” provides the necessary tools to identify factors within a system and their interrelations. It helps one to assess the importance of certain factors within the system and to identify those factors that strongly influence the system by triggering reinforcing feedback, the so-called crucial factors or in mathematic terms, attractors within *complex systems*.

Systems thinking helps identify feedback loops (reinforcing and balancing) and delays within a system of interacting factors and therefore supports predicting the general direction a system will take after changing certain factors.

Complex systems consist of numerous non-linear linkages between factors, some coupled in reinforcing feedback loops, others with a more balancing effect on the system. It is the overall picture of such a system that has to be stimulated to achieve a positive impact. The most successful way of doing this is to identify those factors that are predominantly stimulating positive reinforcing feedbacks within the system and to neutralise the effects of those factors which prohibit positive changes due to their stimulation of balancing cycles.

In the PFSM context the approaches of MAPP and systems thinking are merged into a results-oriented methodological concept which includes a tool for aggregation of the information collected at village level. This concept was tested in eight villages and is described in Chapter 4.2 below.

Additionally, also the results chain approach was applied, though only to a very limited extent: The results chains of agriculture-related activities of the two commissioners’ projects were developed in order to exemplarily verify the plausibility of project planning logic at village level. These results are described in Chapter 5.2.

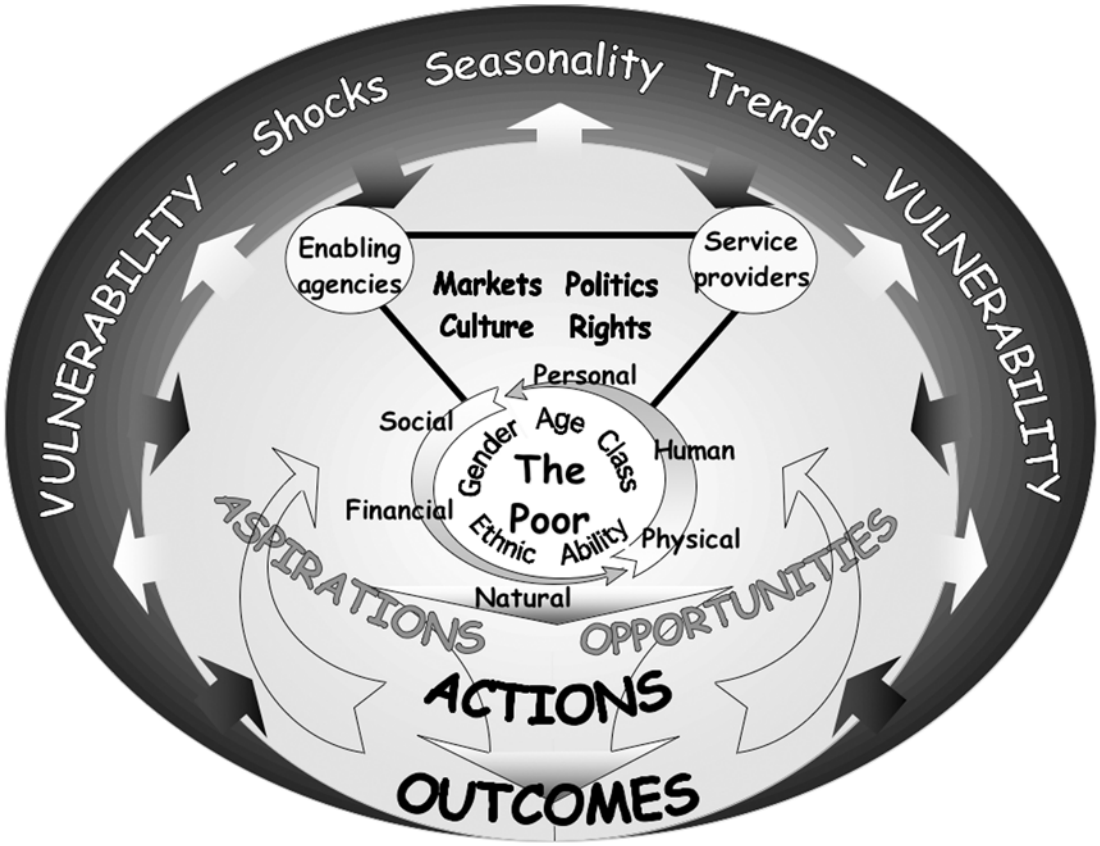
## 2.3 Communication and Policy Dialogue

Referring to the Sustainable Livelihood Framework (Figure 1), the communication strategy is supposed to fill in the box “policies, institutions, processes” und thereby link findings on poor people’s most important livelihood factors to “livelihood strategies” in order to achieve better “livelihood outcomes”. This causal relation is based on the assumption “that improved participation in policy making, achieved by supporting people to voice their needs, concerns and interests in the structures and processes of the policy environment, helps to look at all aspects (holistic) of an issue rather than only at those in which a few actors have an interest in.” (FAO 2004a)[6].

This hypothesis is also supported by IFAD that complements the original DFID Sustainable Livelihood Framework by addressing “policies, institutions, processes” (the so-called PIP box) in more detail and thus emphasising the relevance of policy dialogue. The adjusted Sustainable Livelihood Framework by IFAD specifies enabling agencies and service providers as relevant actors, and markets, policies, culture and rights as institutions shaping policy dialogue and decision making (Figure 4). However, with respect to the assets our study refers to the DFID livelihood approach (DFID 2001), and as the planning process was selected as an example to analyse policy dialogue and decision making, besides the actors, only policies and rights will play a role.

[6] See also FAO 2002.

**Figure 4: An Alternative Sustainable Livelihood Framework (Source: IFAD 2004)**

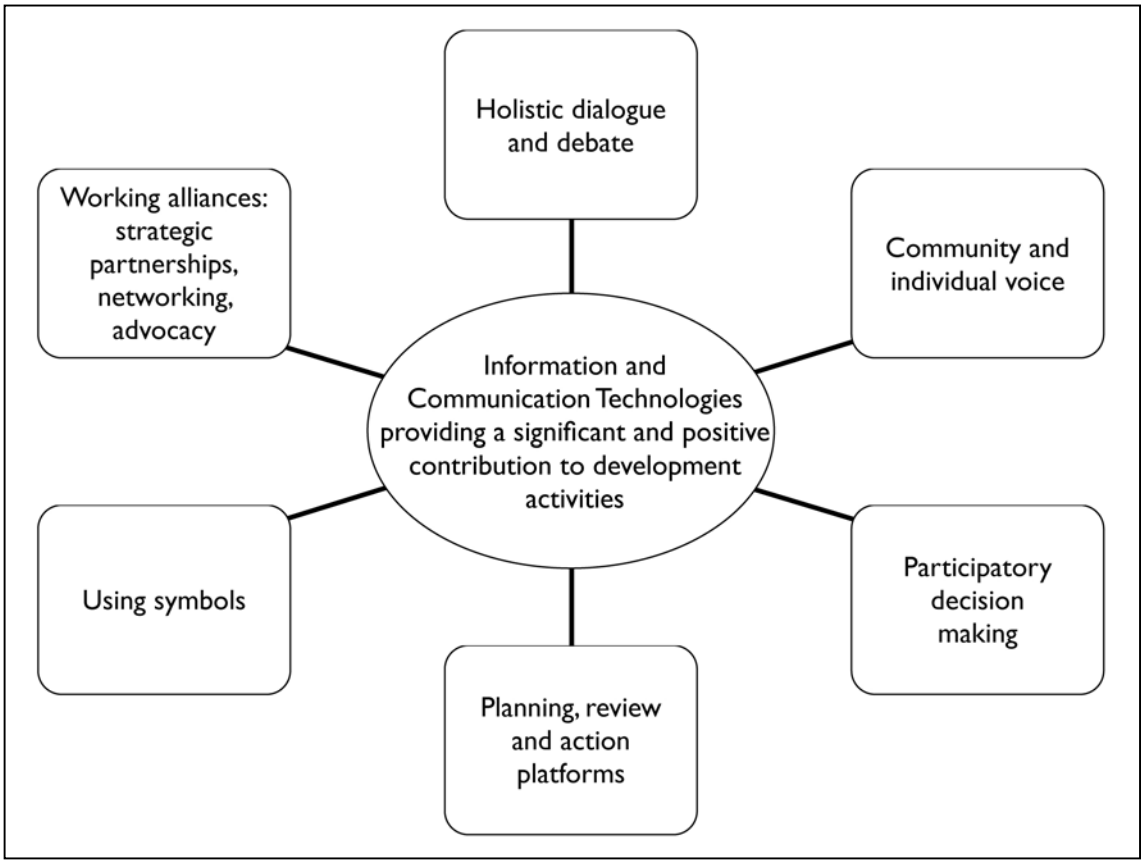



Communication for Development, in general, can be defined as “systemic design and use of participatory activities, communication approaches, methods and media to share information and knowledge among all stakeholders in a rural development process in order to ensure mutual understanding and consensus leading to action.” (FAO and SADC 2004:10).

The FAO model assumes sender and receiver exchanging information by using certain communication channel(s).

Communication takes place in various contexts and among a varying number of people. Figure 5 presents an overview on ways how communication can have a positive impact on development activities. The issues of community and individual voice, participatory decision making, and planning, review and action platform are of particular interest for the PFSM study as will be shown in Chapter 6.

**Figure 5: Fields of Development-Related Communication (Source: FAO 2003)**




The communication mechanisms on policy dialogue and decision making (CPDDM), as the communication strategy is called hereafter, consists of three elements, i. e. relevant actors and their institutional framework, key messages and communication channels as outlined in Table 3. The second column of the table provides details on each element in the context of the PFSM study. The third column refers to Subchapter 6.2 and provides information on how to assess each element.

**Table 3: Elements of Communication Mechanisms for Policy Dialogue and Decision Making (Source: PFSM 2005)**

| Element | Explanation | Methods |
|---|---|---|
| **Relevant actors and institutional framework** | Analysis of stakeholders' functions and interests, and the relationship between them<br><br>Conclusion on potentials and obstacles<br><br>Analysis of institutional framework: laws, rules, and practice | Interface with PFSM output 2: information from project documents<br><br>Semi-structured interviews with experts<br><br>Network analysis: Rainbow Venn diagram with villagers, and Policy Chain diagram for cross-checking<br><br>Review of laws and decrees |
| **Key messages** | Poor people's interests concerning natural, physical, financial, human, social assets<br><br>Impacts of projects' interventions in the context of poverty reduction and food security<br><br>PFSM methodology to assess key messages, i.e poor people's interests | Interface with PFSM output 1: findings from application of timeline, ranking, influence matrix and other tools<br><br>Interface with PFSM output 2: results chains and interventions' results |
| **Communication channels** | Procedure of policy dialogue which ensures key messages to be considered during stakeholders' decision making process | Screening of existing reporting systems and formats<br><br>Expert interviews |

**Relevant actors and institutional framework**

Relevant actors are state bodies and non-state organisations on village, commune, district, provincial and national level that are involved in or considered relevant for policy dialogue. Relevance in this context means having a reasonable measure of competence, power, resources and the interest in a functioning and pro-poor policy dialogue and decision making process. Their acting is based on policies, laws and regulations, non-formal institutions as well as on personal interests.

**Key messages**

Key messages in the PFSM context are information concerning poor people's interests and results of projects interventions. They are related to livelihood factors identified by villagers and analysed as described in Chapter 4. They represent the five livelihood assets: human, social, natural, physical, and financial asset. Key messages, therefore, should reflect the views of actual and potential beneficiaries within a broad framework and consider the requirements set by decision makers on all administrative levels and donor agencies.

**Communication channel**

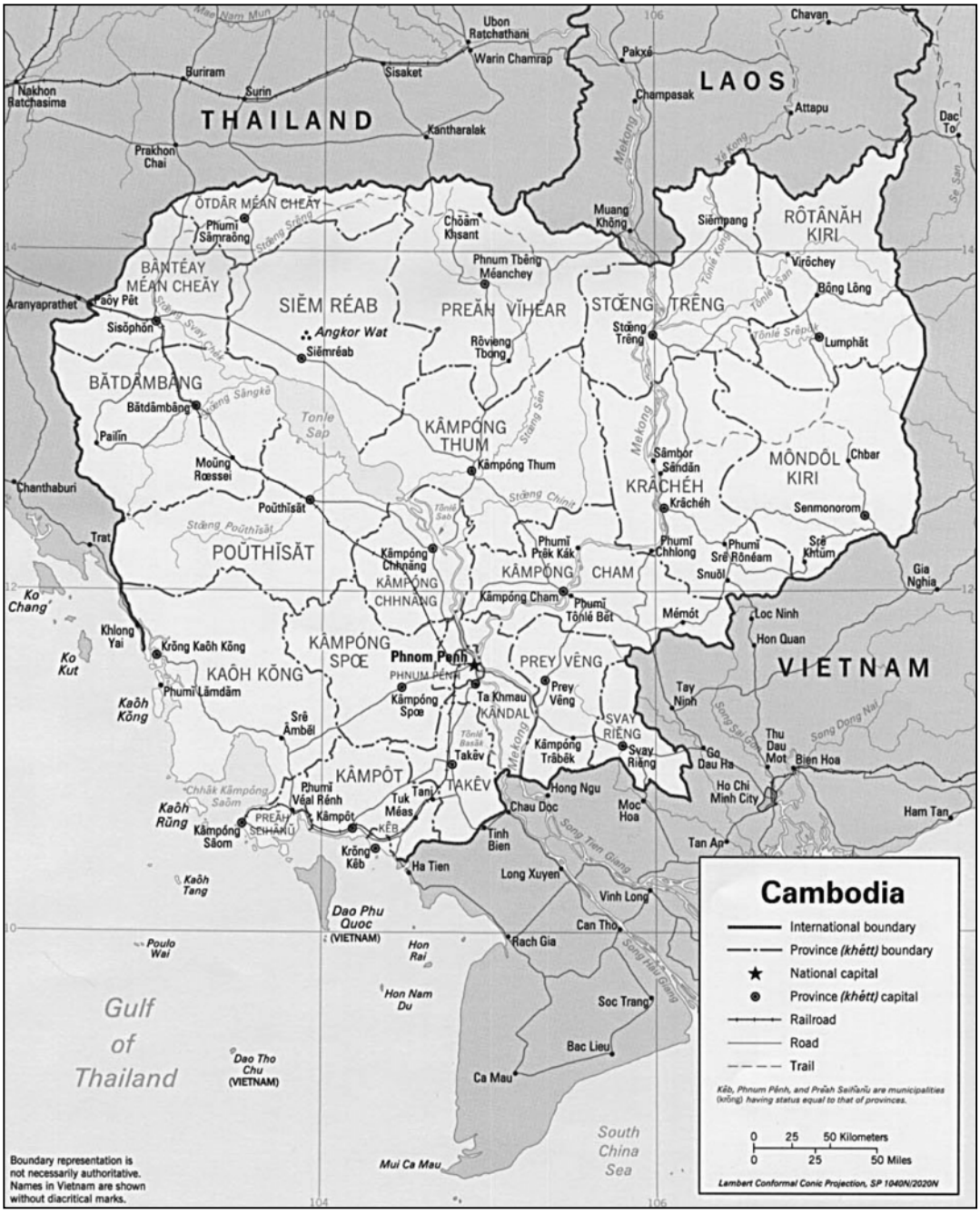
The communication channel is the organisational and functional part of the policy dialogue mechanisms. It states how and when key messages are transferred. As stakeholders on different levels might have a different understanding about the relevance, quality or quantity of information the communication channel is supposed to overcome communication obstacles or misinterpretation of information. Therefore, a format for information transfer is necessary which is easy to handle for all stakeholders without leakage of information while transferring. Furthermore, an agreement on frequency of information transfer has to be found. This must consider the time input necessary for data collection as well as certain deadlines within the policy decision process.

# 3 Country, Programme and Study Context

This Chapter describes the country, programme and study context, providing an insight into both projects, finally also stating the reason why the study focused on agriculture related activities.

## 3.1 Country Context

**Figure 6: Map of Cambodia (Source: Encyclopedia Britannica 2005)**



The Kingdom of Cambodia is a constitutional monarchy that is situated at the Gulf of Thailand. The country borders Thailand in the North-West, Laos in the North, and Vietnam in the East. With its country size of 181,400 km², Cambodia and its surrounding countries are part of the Mekong Basin.

85 % of the 13.7 million inhabitants are Khmer. The Cham are the biggest minority in Cambodia, representing about 3% of the population. Other minorities include Vietnamese and Chinese and the so-called “hill tribes”. 90% of the Cambodians are Buddhists. The country is divided into 24 provinces with 184 districts and 1,621 communes (www.nis.gov.kh) with Phnom Penh as capital.

The arable land in Cambodia covers an area of approximately 4.626 million ha. About 21.6% of this arable area is actually cultivated. Cambodia is characterised by a wet monsoon climate with a rainy season from May until October. The rainfall peaks are in June and September/October. The average annual rainfall is estimated at 1,904 mm but varies greatly from region to region. It is very erratic from one year to the next causing regional floods or periods of drought (www.fao.org).

### 3.1.1 Historical and Political Context

Cambodia looks back on a turbulent history. The most prosperous era of old Cambodia was the Angkor Empire, which reigned from 802-1431. In 1431, Angkor was integrated into the Thai Kingdom of Sukothai (EIU 2004). With the beginning of the 19th century, Cambodia became a protectorate of France when the kingdom came under increasing threat from Thailand and Vietnam. The country was incorporated into the French Indochinese Union in 1946. The French protectorate ended with the independence of Cambodia in 1953. During the preparation of the following elections, King Sihanouk, stepped down to lead his own party, the People’s Socialist Community, and his father, Norodom Suramarit became King. Prince Sihanouk’s Party won the election and he became head of state, playing a major role in politics for the next 15 years (EIU 2004).

The 1966 elected Prime Minister Lon Nol overthrew the government of Sihanouk in 1970 and transformed the country into the so called “Khmer Republic”. Prince Sihanouk and the Communist Party of Kampuchea, known as the Khmer Rouge under the leadership of Salot Sar, who later called himself Pol Pot, joined forces, plunging Cambodia into a civil war. The republic of Lon Nol ended in 1975 when the capital Phnom Penh fell into the hands of the Khmer Rouge (EIU 2004).

The Khmer Rouge proclaimed a worker-peasant revolutionary state in 1976, which was characterised by oppression, torture and systematic murder. Vietnamese troops ended the regime of the Khmer Rouge in 1978 and assisted in forming a communist government in the so called “People’s Republic of Kampuchea”. From the beginning of the 1980s continuous conflicts took place between the ruling communist Kampuchean People’s Revolutionary Party on one side and the Khmer Rouge, supported by the United Front for an Independent, Neutral, Peaceful and Cooperative Cambodia (FUNCINPEC) in alliance with the Khmer People’s National Liberation Front on the other side (Schier 1992).

The Paris Peace Agreement of 1991 opened the way for the UN Transitional Authority in Cambodia (UNTAC) in 1992. This peace keeping mission supported the first multi party national elections in 1993. FUNCINPEC, now led by King Sihanouk’s son Prince Norodom Rannariddh, and the Cambodian People’s Party (CPP), the former communist party under the leadership of Hun Sen became the strongest factions and formed a grand coalition (EIU 2004).

Today, the Kingdom of Cambodia has three major political players: the CPP led by Hun Sen, the present prime minister, the FUNCINPEC and the Sam Rainsy Party (SRP). Since 1993, two more national elections have been held, one in 1998 and the most recent one in 2003. The first Commune Council elections took place in 2002 (World Bank 2005).

Cambodia is still a post-conflict country. Even though many organisations provide education and training in advocacy and human rights, more efforts for coordination and empowerment are necessary. As the European Commission states in its Country Strategy Paper 2004-2006: “Violence, both public and domestic, the latter mainly affecting women and children, remains endemic. Weak law enforcement exacerbates the situation, resulting in significant impunity, fuelled by corruption. Even if important steps have been taken to establish a multi-party democracy and to address governance issues, Cambodia still needs to progress further towards a fully functioning democracy.” (EC 2004:15).

After the formation of the coalition, the government released a “Rectangular Strategy” to launch reforms in the country including the improvement of the poverty situation in the country. The core of the Rectangular Strategy (RGC 2004) is good governance with the four reform areas: anti-corruption, legal and judicial reform, public administration and reform of the armed forces.

Four elements guide the implementation of the Rectangular Strategy. These are

- Peace, political stability and social order
- Partnership in development with all stakeholders, including the private sector, donor community and civil society
- Favourable economic and financial environment, and
- Integration of Cambodia into the region and the world

The following four strategic growth rectangles are

- Enhancement of the agricultural sector
- Private sector development and employment generation
- Continued rehabilitation and construction of physical infrastructure, and
- Capacity building and human resource development

Each of these strategic growth sectors has four sides. The enhancement of the agricultural sector[7] includes:

- Improved productivity and diversification of agriculture
- Land reform and clearing of mines
- Fisheries reform
- Forestry reform

Based on the Rectangular Strategy, the RGC is currently elaborating a National Strategic Development Plan (NSDP 2006-2010) as a follow up to the previous Socio-Economic Development Plan and the National Poverty Reduction Strategy Paper (NPRSP).

## Decentralisation

Decentralisation is seen by the government as a measure to achieve the goal of participatory democracy. Furthermore, it is assumed that decentralisation promotes a culture of participatory planning and thus contributes to the reduction of poverty through improved service delivery. To achieve these objectives, the government put the major law on decentralisation and election in place in 2001 (RGC 2001). This marks the starting point of the decentralisation process which is still ongoing. The first Commune Council (CC) elections led to a decentralisa-

[7] This sector is described in more detail because the study focuses on the agricultural sector (see chapter 3.3.1).

tion of power and function from the national to the local government, namely *devolution* of power to elected CC as well as *deconcentration* of functions and power from national government to provincial governors. This reform and the following steps are results of the CARERE/Seila programme (STF 2000, MRD 2000) initiated by the Cambodian Government with support from UNDP, SNV (Netherlands' development organisation), EU, SIDA and UNCDF, and now also supported by DFID, AusAID, the World Bank, UNHCR, the WFP and IFAD. The Ministry of Interior (MoI) has taken the lead from the governmental side.

Although the decentralisation process has not yet been completed, several important achievements have been made. Those which are relevant for assessing the planning process are stated here (CDRI 2004):

- All CC have elaborated a five-year Commune Development Plan (CDP), a three-year rolling Commune Investment Plan (CIP) and their annual budgets
- Civil and election registration have been delegated to CC
- All communes are covered by the Seila programme and receive funds for administration and development from the Commune/Sangkat Fund (CSF)
- 32,688 projects were approved for the communes through the District Integration Workshop (DIW) in 2004
- Provincial and district technical staff are being trained to assist the communes/sangkats
- The National Committee for Support of the Communes (NCSC) has issued 30 regulations and procedures to support the operations of the communes/sangkats

Current efforts are being concentrated on an "*organic law*" to define the functions of province and district level agencies (RGC 2005).

The decentralisation process puts a greater focus on the local level and has established the CC as an elected body. Furthermore, functions and responsibilities have been shifted downwards within the administrative structure. Using the planning process as an example, Chapter 6 will analyse policy dialogue and decision making and thereby present a picture of the relevant actors on each level, key messages transferred, and channels used among them.

### 3.1.2 Socio-Economic Context

From 1995 until 1998, the gross domestic product (GDP) grew by an average of 5.6% per year. From 1999 until 2002, the GDP continued to increase at a rate of 6.8% per year. The biggest economic growth was in 1999 with 10.8%. In 2003, the GDP growth was 5.3 %. Economic growth is mainly influenced by an expanding industrial sector in particular the export oriented garment industry. Another sector of significant economic importance is tourism.

While the industrial sector is growing, the agricultural sector's contribution to the GDP fell from 48% to 33% between 1992 and 2002. Agriculture is still the most important source of livelihood for the majority of the population. The productivity of the agricultural sector is highly dependent on climatic conditions. Therefore, the droughts in 2002, 2003 and 2004 had serious consequences especially for the rural population. In addition, the agricultural sector is highly dependent on natural resources which are in decline (ADB 2004 and World Bank 2005).

The Human Development Index (HDI) in Cambodia was 0.501 in 1990 and 0.571 in 2003. This indicates a slight improvement. In 2003, Cambodia was ranked 130th out of 170 countries in the HDI (CSD 2002 and UNDP 2005). Apart from the economic and political situation, reasons for this still low ranking are a "… variety of conditions, ranging from malnutrition, illiteracy, gender discrimination, limited access to social services, weak social capital …" (EC 2004:16).

Thirty six percent of the population live below the national poverty line of about US$ 0.46-0.63 at the current exchange rate (CSD 2002). 15-20% of the population is living in extreme (or food) poverty. Even the economic growth over the past years could not significantly change this situation. Poverty in Cambodia is mainly rural, with about 40-50% poor in rural areas (reaching 70-80% in some areas around the Tonle Sap Bassin), compared to 10-15% in Phnom Penh (World Bank 2005). The distribution of poverty and income is very uneven in Cambodia. The poorest 20% of the Cambodians contribute only 7% to national income and consumption. 80% of the poor live in rural areas where they are highly dependent on agriculture and natural resource use for their livelihoods (EC 2004).

The first nationwide Cambodian Participatory Poverty Assessment (PPA) has revealed that there are regional, gender, ethnic and urban-rural perceptions and realities of poverty in the country. The PPA was meant to incorporate the widely

recognised multidimensional aspects of poverty. According to this assessment, major concerns of the poor are lack of food security, i.e., experiencing long periods of hunger, lack of food (mainly rice), life crisis usually arising from a natural disaster, illness or death of a family member, the lack of assets, lack of access to and ownership of land, nonexistent or limited access to educational opportunities, flooding and drought, lack of micro-finance, poor physical infrastructure and decreasing access to community natural resources.

Among other factors prolonged civil conflict, internal displacement and discriminatory development processes are the main causes of poverty in Cambodia. The poor in Cambodia are in many ways no different from those in other developing countries. Life crisis renders them even poorer. They lack access to natural resources, basic physical and social infrastructure and other services. They feel underpowered, hopeless about their lives and lives of their children and are experiencing an erosion of family and community relationships. Women and social minorities suffer from low socio-economic status (ADB 2001).

33% of the adults in Cambodia cannot write or read. Secondary and tertiary education levels are very low even though the level of primary education is quite high compared with other South East Asian Countries.

The costs for health in Cambodia are high while the quality of health service is still poor. Approximately 11% of a household's expenditures are spent on health issues. The mortality rate among adults and children caused by preventable and controllable diseases is very high. Reasons for this are the high level of malnutrition, the lack of access to clean water and insufficient sanitation amongst others.

An indication for the general situation of women in Cambodia is the higher rate of poverty of women throughout all economic groups. This is related to education as well. Girls and women have a higher rate of illiteracy, provide more child labour and have lower representation in decision making positions (World Bank 2005). The percentage of illiterate women from the age of 15 to 42 is 9% higher than that of men (EC 2004).

Although the numbers of boys and girls attending primary school are equal, only 63 girls for every 100 boys attend secondary school. This number further decreases for upper secondary and tertiary education where less than 50 girls are enrolled for every 100 boys (UNIFEM, World Bank, ADB, UNDP, DFID 2004). Even though the poverty level of households headed by single women is compa-

rable to that of others, their households are considered much more vulnerable because they have less land and fewer labour resources (World Bank 2005).

## Food Security Situation

Rural poverty and food insecurity are strongly interlinked. In Cambodia most people depend, to a large extent, on subsistence production of food (www.foodsecurity.gov.kh). Although Cambodia is self-sufficient in the production of rice at the national level, the country's rice balance varies significantly from area to area within the country as well as from year to year (CSD 2002). Crop agriculture is largely rice-based, with very limited diversification in many food-insecure areas of the lowland flood plains, while fish production (a main source of protein) is declining and increasingly under threat. Many rural households have insufficient land for crop production (ADB 2001).

Many rural people also depend on casual low-wage labour or informal-sector enterprises to make income to buy at least part of their food needs. The food security of poor rural people often depends mainly on income from such activities. Farmers seeking to sell their crops face a poorly developed road network and market infrastructure, limited storage capacity, and high transaction costs. Net returns from rice production are very low, and the marketing strategies of households earn little profit. Purchasing power to buy food is generally very limited in rural areas due to the high incidence of poverty (Helmers 2005).

Rice shortages (rice gaps for two months or more) at the household level are frequent and contribute to the indebtedness of rural households, which in turn leads to chronic food insecurity (Helmers 2005). High health expenditures erode the asset base and purchasing power of food-insecure and vulnerable households. Income and food from common-property resources (forests and fisheries) are particularly important for the poor, but concessions and environmental degradation have restricted their access to these resources (www.foodsecurity.gov.kh). FAO estimates that during the period 2000-2002 33% of the Cambodians were undernourished, i.e., their energy intake was below the minimum requirements (FAO 1999 and 2004b).

Cambodia has some of the highest malnutrition rates in Asia, with 44% of children below five years of age stunted and 15% wasted. Micronutrient deficiencies such as Iodine Deficiency Disorder (IDD), Vitamin A Deficiency (VAD) and Iron Deficiency Anaemia (IDA) are widespread and hamper the full use of human po-

tential for development (NIS/MoP, MoH and MACRO 2001). There is limited access to safe water and proper sanitation. People's poor health status (resulting from limited access to quality health services and preventive health) impairs optimal utilisation of food, while poor quality diet and inadequate feeding and caring practices further exacerbate the problem.

In recent years, flooding and drought have become more frequent, but emergency response capacities remain insufficient. The current production system is very vulnerable to drought due to the lack of diversification and irrigation. Depletion of productive assets, as a result of indebtedness, leads to chronic food insecurity. The food needs of permanently vulnerable groups (female-headed households with children, elderly, disabled, and people living with HIV/AIDS) are not sufficiently addressed as a result of disrupted rural social institutions and lack of social safety nets (www.foodsecurity.gov.kh).

While women in Cambodia play a major role in all components of food security, whether in food production, marketing, household income/budgeting or as care takers, their role is negatively impacted by issues such as high illiteracy rates among women, lack of education and knowledge, and poor health and nutritional status, e.g., very high maternal mortality rates and iron-deficiency anaemia prevalence of 65% among pregnant women (www.foodsecurity.gov.kh).

## Government and Partner Initiatives to Improve the Poverty and Food Security Situation

Important steps are being taken by the RGC to improve poverty and food insecurity with the support of donors, UN agencies, non-governmental organisations and research institutions, among others, to improve access to land, improve and diversify agricultural production, create income-generating opportunities for rural households, rehabilitate infrastructure, increase investments in safe water and sanitation, educate mothers on the importance of appropriate feeding and caring practices, scale-up micronutrient supplementation and food fortification programs, work towards health sector reform, establish social safety nets, and encourage the participation of communities in planning and decision-making processes (CSD 2002).

Poverty reduction and the improvement of food insecurity and malnutrition are at the forefront of discussions among policy-makers in Cambodia, who are incorporating poverty, food security and nutrition-related goals and objectives into national strategies and frameworks such as the Cambodia Nutrition Investment Plan (CNIP) 2003-2007, the Cambodia Millennium Development Goals (CMDGs), the Rectangular Strategy and the upcoming National Strategic Development Plan (NSDP) 2006-2010. The achievement of seven out of the eight Millennium Development Goals depends on achieving Food and Nutrition Security (www.foodsecurity.gov.kh).

In 2004, the Royal Government of Cambodia created a number of Technical Working Groups (TWGs) in order to support the formulation of the NSDP. Several TWGs, e.g., the TWG on Agriculture and Water, the TWG on Food Security and Nutrition and the TWG on Planning and Poverty Alleviation, are addressing poverty and food security related issues (Cambodia TWG 2004). FAO and GTZ are participating in these national fora and thus actively contribute to policy and strategy making.

### 3.1.3 Ecological Context

Cambodia is highly dependent on its natural resources, e.g., 82% of the energy consumption in Cambodia in 1995 was in the form of fuel wood. Concerning fisheries, the Tonle Sap basin fishing industry provides 40-70% of the countries protein intake. In rural areas natural resources provide food and other goods for direct household consumption. Due to weak environmental management, an insufficient legal framework and poor coordination and enforcement of existing laws, exacerbated by high population growth over the last years, the pressure on natural resources has increased. Rapid urbanisation causes new problems regarding waste water management and sanitation. Although Cambodia has a very high amount of protected area compared to the rest of the South East Asian region, there is a lack of control and management of these areas. These factors and the problem of addressing issues of environmental sustainability on all political levels, contribute to the deterioration of natural resources in Cambodia (World Bank 2005).

## 3.2 Programme Context

Both commissioners of this study, FAO and GTZ, are conducting projects which have been specially addressed by the PFSM team. The overall development goal of both the National Programme for Food Security and Poverty Reduction (FSPR) as well as the Community Based Rural Development Project (CBRDP) is to reduce poverty and food insecurity in the target areas. However both have different approaches, FSPR focuses on a food security approach, while CBRDP applies the poverty reduction approach.

### 3.2.1 National Programme for Food Security and Poverty Reduction

The National Programm for Food Security and Poverty Reduction (FSPR) was launched by the Cambodian Ministry of Agriculture, Forestry and Fisheries (MAFF) in December 2003 and is jointly executed by the Ministry of Agriculture, Forestry and Fisheries (MAFF) in collaboration with the Ministry of Water Resources and Meteorology (MOWRAM).

The FSPR is the extension of the Special Programme for Food Security (SPFS) which was implemented in Cambodia between 1998 and 2003. The extension phase was launched under new funding from the Japanese government in December 2003. The programme's major objectives are to improve food security and income generation of poor farmers in Cambodia. The core project (GCSP/CMB/010/UNO) was signed by the FAO Representative and the Minister of Agriculture, Forestry and Fisheries in August 2003. It is supported by a new complementary project Capacity Building for the implementation of the Cambodian SPFS extension phase TCP/CMB/2903(A) which was signed by the FAO Representative and Minister of Agriculture, Forestry and Fisheries in December 2003.

FAO-HQ provides technical and operational supervisory support. This includes technical backstopping on reviewing work plan, budget and programme approaches.

## Programme Objectives and Target Groups

The strategic objective of the FSPR is to boost agriculture to improve food security and rural livelihoods. The programme's main objective is to increase the level of food security of poor Cambodian farmers to contribute to their human security and reduce their vulnerability.

The programme was established with four major objectives:

- To build capacity among extension staff
- To provide training through Integrated Farmer Field Schools (IFFS)
- To build organisational and farmer trainer capacity to provide sustainable technical and financial support in conjunction with micro finance institutions, and
- To share results and information, and to establish cooperation with other organisations and projects to improve livelihoods and sustainable benefits in communities

The FSPR targets vulnerable people, female headed households, widows with many children, small land holders, landless, handicapped, people with food shortages for several months who live in remote, vulnerable (flood, drought) and food insecure areas.

The project is designed with technical assistance of district officers or other available expertise with an elected management committee.

Village chiefs, Village Development Committees, Commune Councils and other stakeholders in villages are informed about the projects.

The programme targets selected villages in the following provinces and districts:

- Siem Reap province; Prasat Bakorng, Pouk and Bantey Srey district
- Kampong Thom province; Storng and Kampong Svay district
- Kampong Cham province; Prey Chhor and Dambe district
- Pursat province; Kror Kor and Bakan district
- Takeo province; Samrong, Prey kabas, Traing and Angkor Borei district
- Kampot province; Chum Kiri and Dang Tong district

## Major Activities of the FSPR

The description of the major FSPR activities will focus on agricultural related activities for the reasons given in Subchapter 3.3.1.

## Farmer Field School (FFS) Approach

The FFS sequence is conducted twice a year in each FSPR village after the monsoon seasons (dry and wet). The period of FFS is from 20 weeks to 30 weeks. The Farmer Field School approach uses “non-formal education” methods, particularly experimental learning techniques. The average number of farmers attending the training is 25 to 30. The planning process and implementation modalities for Farmer Field Schools in the FSPR are presented in Annex 9.1.

Two models of Farmer Field Schools were tested during the extension phase, the Integrated Farmer Field School (IFFS) and the Food Security Field School (FSFS). The key differences between these models are that the IFFS covers crop, fish and livestock production according to farmers’ requests, supplies inputs to individuals and creates revolving loan funds, while the FSFS specifically addressed one topic from crop and one from livestock plus social topics and provided money to the group for micro projects. The FSFS was dropped from the FSPR programme because it focused too narrowly on only one topic from both crop and livestock production. If the poor limit their production to only one crop and one kind of livestock, they do not have sufficient finances to purchase different kinds of food from the market. They need to have a diversified agricultural production system to ensure their food security. This report therefore concentrates on the IFFS.

## Integrated Farmer Field School (IFFS)

Activities start with a participatory process to identify participants. Selected participants in the IFFS are poor women with many children and the poorest. The participants meet together once a week in the morning. The farmers who are selected to take part in the IFFS have to sign an agreement with the following conditions before they can participate. They agree to

- Attend 90% of IFFS days and participate in the session on cash flow and savings
- Prepare a simple cash flow plan to decide how much of the money they can save
- Agree to save regularly in savings club for at least six months after IFFS ends
- Agree to save at least a minimum amount and up to 50% of the grant that is received over six months

Before IFFS sessions begin, the field school curriculum is decided upon together with active participation of the selected farmers. The major aim is to identify the

farmers' priority needs and their main constraints. As the curriculum develops the appropriate technologies can be provided to farmers with practices best suited to their farming system. All main and special topics planned in each session during the IFFS can be changed depending on the kinds of problems faced during field observation and farmers' needs. Group Saving is introduced in IFFS curriculum at the very beginning.

Topics at the IFFS include crop intensification, inland fisheries, livestock, water management, off-farm activities, Community Micro Projects (CMP). A detailed explanation is given in the Annex 9.1.

### Field Demonstrations

This includes a study plot which is set up by the farmers. During field demonstrations diversified techniques related to the above mentioned topics are taught. Some of the activities carried out at the rice demonstration plots include rice field demonstration plots, vegetable demonstration plots, chicken demonstrations, pig demonstrations and mushroom demonstrations.

### Farmer Field Day

The purpose of a farmer field day is to allow farmers to visit other IFFS and learn from one another and exchange experiences and knowledge gained during IFFS.

### FSPR Monitoring and Evaluation (M&E) and Reporting

M&E of the FSPR is carried out at all levels. The role of the national team is to provide backstopping. All FSPR staff fills out standardized reporting sheets. The reporting formats are different in accordance to the needs of national, provincial and district teams.

Currently, district teams monitor FSPR using prepared questionnaires. Individual beneficiaries in each village are asked directly about the achievements and influences of the interventions.

Each national, provincial and district team conducts monthly or bi-weekly meetings in order to monitor and evaluate the progress of activities, problems, and plans that occurred during the implementation of FSPR activities. They also submit monthly work plans and monthly reports to the national team leader. The national team leader prepares the work plans, half yearly and annual reports and submits them to the MAFF, the FAO Representative and other stakeholders.

### 3.2.2 Community Based Rural Development Project

In April 2001, the Community Based Rural Development Project (CBRDP) was launched in Kampot and Kampong Thom provinces. It is jointly financed by IFAD, the German Government and the Royal Government of Cambodia.

Phase I of the CBRDP started in 2001 and lasted until 2005. Phase II started in April 2005 and will end in March 2008. The Ministry of Rural Development (MRD) is the national partner in charge of the implementation of CBRDP.

IFAD provides financial assistance for investments in the form of a loan. Inputs of the Rural Development Programme (RDP) the German contribution to the CBRDP, include advisory services provided by long- and short-term experts (GTZ and the German Development Service (DED) provide technical and managerial advice), capacity building measures and trainings, local grants to public and civil society organizations for training measures, material support, i.e., transportation and office equipment, operational and administrative costs. AusAID provides support to the agricultural extension service within and outside the CBRDP.

#### Objectives, Target Area and Target Groups of CBRDP

The purpose of the CBRDP is to assist approximately 39,150 poor households in the project area to sustain increased food production and farm incomes through intensification und diversification of crop and livestock production and to increase capacity of the members of the target group to use services available from the government and other sources for their social and economic development. The German technical assistance to the CBRDP aims at achieving the objective that the rural population, Commune Councils (CC), as well as public and private service providers jointly carry out demand-driven measures towards social and economical development.

The project aims at ensuring that the management structures and procedures for decentralised management of development activities are in place. On provincial level, CCs are enabled to prepare commune plans with village participation and to manage their implementation. Village population and organisations of civil society are enabled to undertake self-help activities and to play an active role in local self-administration. Support services (technical and community development (CD)) for the construction of rural infrastructures (roads, water supply, irrigation schemes, land titling) are delivered. The LTC/WUC (Local Technical

Committees/Water User Committees) are enabled to manage on-going maintenance needs and demand oriented services to support the crop and livestock production. Furthermore, farmers are enabled to improve their subsistence production and to expand their market oriented production.

CBRDP is working in seven (out of eight) districts in Kampot province (Chum Kiri, Chhouk, Kampot, Dang Tong, Angkor Chey, Banteay Meas and Kampong Trach). In Kampong Thom province, the project targets eight (out of eight) districts for agricultural activities, and four (out of eight) districts for other project activities (Prasat Balangk, Stoung, Kampong, Svay, Stueng Saen and Prasat Sambour).

The Most Vulnerable Households are identified by villagers under the leadership of the CC and published in the MVHL (Most Vulnerable Households List). Since 2004, CBRDP has been targeting these households for specific project support. Key actors in the establishment of the MVHL are:

- The Village Level Working Group with Key Village Representatives who identify the most vulnerable families and draft the MVHL
- The villagers who check and comment on the list
- CCs which guide the process, agree on the criteria, harmonise the village draft lists and endorse the MVHL
- District and Provincial Authorities who facilitate the process and provide capacity training to CCs. They also promote and share information about MVHL with other departments and organisations

The proposed criteria used for the selection of the most vulnerable families, which are reviewed and adapted by the village representatives at commune level, are:

- Housing situation: families living in very basic housing conditions
- Income situation: families who have no regular income outside agriculture and who depend on daily income for food (no reserves)
- Transport: families who have no draught animals or only one young animal and no other means of transportation
- Land ownership: families with very little productive land (less than 0.02 ha)
- If their rice production can only cover two months of consumption per year

## Major Activities of CBRDP

CBRDP is relatively complex and the activities carried out to meet their objectives and fulfil the achievement of the projects components are many and diverse. The German contribution to CBRDP concentrates on components such as the promotion of decentralized development management, qualification of services and utilisation of experiences for national policy and programme formulation.

The description of the CBRDP activities in this report focuses on the agricultural related activities for the reasons given in Subchapter 3.3.1. Activities in agriculture are also many and diverse, the most important being rice trainings and demonstrations, promoting new techniques (improved varieties, fertilizer use), System of Rice Intensification (SRI), organic rice production, rice seed multiplication in order to produce high quality seed, vegetable growing, fruit tree promotion and fruit tree nurseries, fishponds and fish nurseries, chicken raising, Village Livestock Agent (VLA) training, farmer promoter training, pig raising, animal vaccination campaigns, staff development and M&E. A detailed explanation of the mentioned activities and a description of the CBRDP management and coordination mechanism is given in the Annex 9.2.

## CBRDP Monitoring and Evaluation (M&E)

The M&E concept of the CBRDP rests on several pillars:

- A systematic operational and work planning as the basis for activity monitoring
- M&E plans start with indicators on different levels, which are identified during the planning process and documented in the project logical framework, and
- The annual Beneficiary Impact Assessment (BIA) Survey and subsequent Beneficiary Monitoring Workshops as the basis for impact monitoring

The BIA is a part of the CBRDP M&E system that has been applied on a yearly basis since 2003. It is applied by a team of M&E staff working together with external consultants in one village for each district in both provinces, where CBRDP is active. The methodological approach is based on parallel focus group discussions and interviews. The results from each village are collected, analysed, and presented and discussed in a workshop in each province. The aggregated results are compiled in a report which presents the results along with examples from specific villages and recommendations for project management. There is a preparatory visit prior to the BIA. The preparatory visit is used to clarify administra-

tive and organisational issues, such as timing, necessary preparations, objective of the exercise and necessary groups to be set up by village representatives. After the field phase and data analysis, Management Monitoring Workshops are organised to assure that the monitoring results are made known to decision makers and management decisions are really made and monitored (Bauer 2005).

On activity and output level, M&E activities of CBRDP concentrates on the tracing of activities and physical achievements (number of Commune Councils trained, number of wells and roads constructed, number of farmers supplied with inputs or supported with demonstrations etc.). Various databases are used to document M&E information, e.g., in the field of agriculture there are village databases on vaccinations and treatments by Village Livestock Agents (VLA), rice fertilizer trainings, provision of agricultural inputs (minikits) and tree planting. In addition, there is also qualitative and quantitative information available through specific studies on project results at output, outcome and sometimes impact level in the fields of agriculture (e.g., adoption of new rice technologies), water supply, CC effectiveness, civil society involvement on CC level and formation of associations.

## 3.3 Study Context of PFSM

### 3.3.1 PFSM Focus on Agricultural Related Activities

Based on discussions and a pre-selection of sectors for the PFSM study with the commissioners, it was decided to focus the study on agricultural related activities for both projects (FSPR and CBRDP). However, the developed methodology should be designed in such a way that it is applicable to other sectors as well.

The selection of the sector was made under the following aspects:

- During the preparatory mission of the PFSM study, the commissioning partners of the study (FAO Headquarters Rome and GTZ RDP) expressed their demand for a report on outcome and impact (including result chains) of selected program/project interventions in one or more of the (sub-)sectors of agriculture, water/sanitation and/or roads. This was a secondary output as part of the testing of the developed methodology in the field

- The agricultural sector is regarded as crucial for poverty and food security in the Cambodian context
- Furthermore, agriculture is a common and a major sector of intervention for both field level projects included in the PFSM study (FSPR and CBRDP)

### 3.3.2 Study Area, Village and Group Selection

The PFSM study was conducted in Kampot province in the south of Cambodia. This province was chosen because both commissioners have extensive projects in the province for quite some time. FSPR has been implemented in the area since 1998 and CBRDP since 2001.

Kampot province has a size of 4,873 km² and a population of 588,583 people with an annual population growth of 1.27% and an average life expectancy of 56.4 years for males and 62.4 for females. The poverty level ranges between 25-75 % in the province. The administrative structure of the province includes eight districts with 92 communes and 483 villages. The road distance between Kampot Town and Phnom Penh is 148 km (www.nis.gov.kh).

#### 3.3.2.1 Criteria for the Selection of Survey Villages

The PFSM methodology was tested in selected villages in Kampot province. Due to the time frame available for the field work, eight villages were selected for field testing. As the two commissioners have different approaches, it was decided to choose half of the villages with a focus on CBRDP activities and the other half of the villages where the focus was on FSPR activities. In making this choice it is important to note that a direct comparison of the performance of the two projects was not intended with this selection and is not an objective of the study.

As the primary objective of the PFSM study is to develop a methodology and not to make a representative survey of project results, an informed selection of villages was made based on a number of criteria and discussions with the commissioners. The following criteria for the village selection were finally chosen in an iterative process and in collaboration with major stakeholders of the study at national, provincial and district level:

a) implementation of FSPR or CBRDP activities/interventions[8]
b) intensity and number of interventions implemented
c) poverty level in the village
d) geographical location

The main criterion used to select the villages was the number of project activities that were implemented in the village. A decision was made to choose villages with a high number of project activities to find out how poverty, food security and the livelihood situation are affected. The villages were chosen based on information available in various project databases of either CBRDP or FSPR.

**Table 4: Village Selection (Source: PFSM 2005)**

| District | Commune | Village | Poverty level | Project Focus |
|---|---|---|---|---|
| Banteay Meas | Sdach Kong Kang Lech | Rumpeun | poor | CBRDP |
| Chhuk | Satv Pong | Trapeang An-doung | less poor | CBRDP |
| Chum Kiri | Trapeang Reang | Rovieng | poor | CBRDP |
| Kampong Trach | Damnak Kantuot Khang Tboung | Angkor Chey Ti Muoy | less poor | CBRDP |
| Chum Kiri | Chumpo Voarn | Kandal | less poor | FSPR |
| Chum Kiri | Chumpo Voarn | Chek | less poor | FSPR |
| Chum Kiri | Chres | Taten | poor | FSPR |
| Dang Toung | Mean Rith | Tranpeang Chhouk | poor | FSPR |

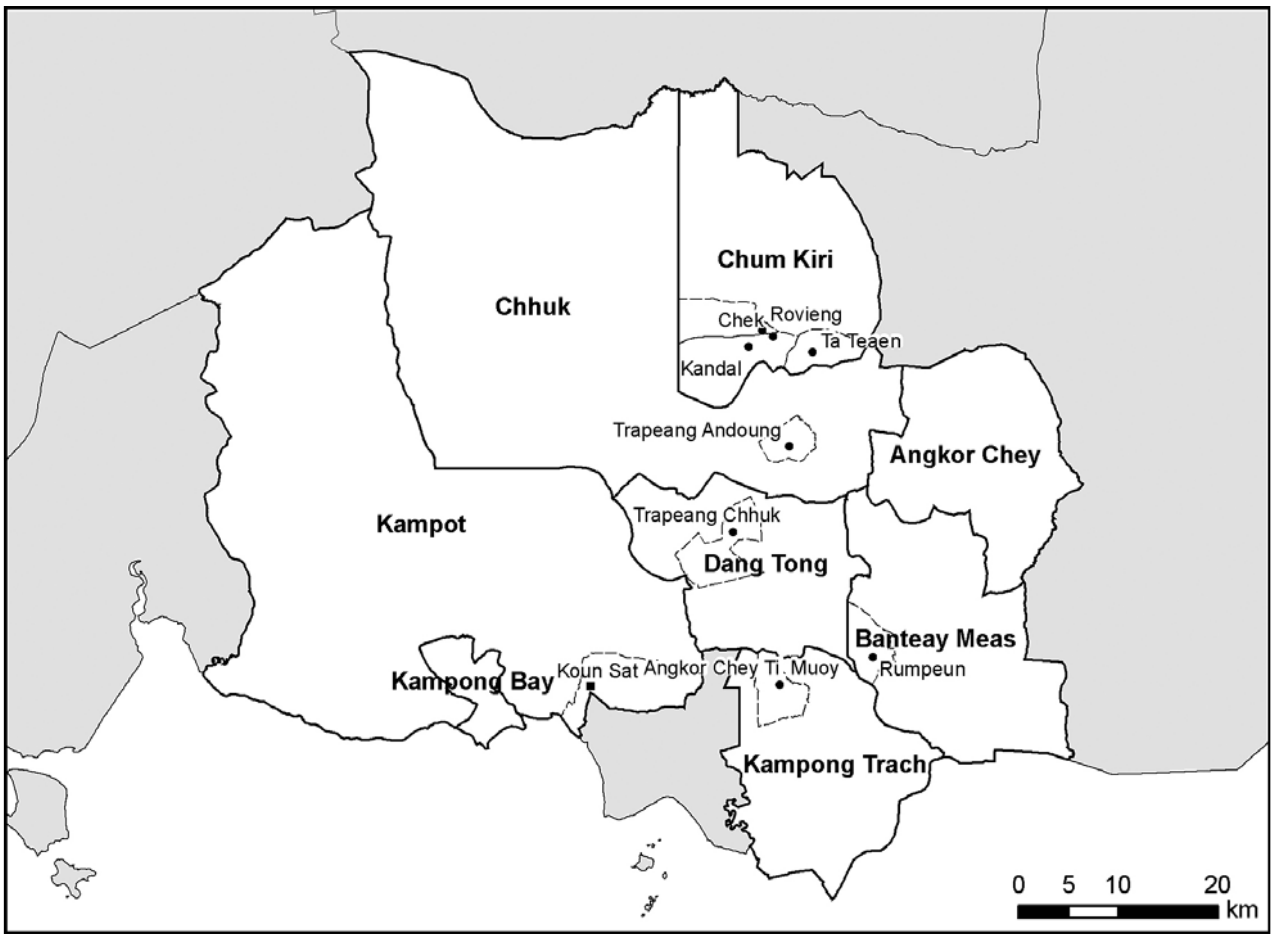
An additional criterion was the poverty situation. By including villages with a relatively high as well as villages with a relatively small number of poor households, it was hoped that a differentiated picture of the poor people's situation, their interests and the effects of development interventions on the village situation could be

[8] Taking into consideration all criteria for the village selection, no villages could be chosen, where only FSPR is operating.

drawn. In agreement with both commissioners the CBRDP database on Most Vulnerable Households (MVH)[9] was used as the source for the data regarding poverty. Half of the villages were selected with a percentage of poor people below 10% and half of the villages with a percentage of poor people above 10%. The overall poverty level in the selected villages ranged from 3% to 20%. The selected villages and the districts and communes in which they are located along with their project focus and respective poverty level are presented in Table 4.

While CBRDP is working in seven out of eight of the districts in Kampot province, FSPR only operates in Chum Kiri and Dang Toung district. In agreement with the commissioners and provincial representatives, villages in five different districts were chosen. These are shown in the map below (Figure 7).

**Figure 7: Villages Selected for Study (Source: PFSM 2005)**




[9] More information on Most Vulnerable Households can be found in chapter 3.2.2

### Composition of Focus Groups for the PFSM Study

Most of the field testing of the PFSM methodology relies on focus group discussions (see Chapter 4).

The criteria used to select villagers to participate in the focus group discussions are shown in Table 5. Government staff working for the two projects supported the PFSM team in identifying and selecting participants for the goups.

For FSPR the District Facilitators Teams (DFTs) and for CBRDP the District Outreach Teams (DOTs) assisted in selecting participants and preparing meetings. The responsible officers got a list with the criteria and selected the participants accordingly in cooperation with the local authorities.

The participants were divided into two different groups: “poor people” and “major village stakeholders”. In this way the different perspectives on and about the village situation were expected to be assessed more accurately. Every group consisted of 6-12 people. The maximum number of villagers invited was 20 because the study team was faced with the problem of having to co-ordinate everyone’s work load during the transplanting season with the need for all group members to have enough time to actively participate in the discussions.

**Table 5: Focus Group Composition (Source: PFSM 2005)**

| Criteria for group of major village stakeholders | General criteria for both groups | Criteria for the poor people group |
|---|---|---|
| Members of Planning Budget Committee (PBC) | Age balance | Most Vulnerable Households including: |
| Members of former Village Development Committee (VDC) | Gender balance | Handicapped |
| Other local authorities | Farmers participating in project activities | Female headed households |
| Village chief | Farmers not participating in project activities | Landless people |

Gender balance and age structure were also important for the selection of participants. In addition, participation/non-participation in project activity was another selection criterion.

To identify the group of poor people the DOTs and DFTs were advised to refer to the “Most Vulnerable Household List (MVHL)” that exists in every commune in Kampot province (see Chapter 3.2.2 ). It was important to have poor people participate in the discussion, because the project activities of CBRDP and FSPR emphasise the targeting of vulnerable households.

The participants for the group of the major village stakeholders included members of the Planning and Budget Committee (PBC) and the former Village Development Committee (VDC) because they represent the village interests at the Commune Council. They, amongst others, transport the needs of each village to the next administrative level. They prioritise the needs and projects that were communicated at the annual village meeting. Other local authorities, e.g., members of the pagoda committees, elders or others, were included, as they might have different views on poverty, food security and livelihoods in the village.

#### 3.3.2.2 Conclusions

After the field phase, several conclusions can be drawn regarding village selection and group composition.

- The number of villages selected for the survey was rather small. This allows an insight into the village situation and testing of the methodology but the results gained with the small number of villages are not representative. In every selected FSPR village CBRDP conducted activities as well. Therefore, the results obtained may not only reflect the outcomes and impacts of FSPR but be a mix of both. Furthermore, villagers often do not distinguish between similar activities of different implementing agencies.
- For some villages it has to be mentioned that other development organisations, e.g., NGOs are working there as well. These interventions were not assessed but most probably influenced the poverty and food security situation of the village.
- The composition of focus groups is a crucial factor. The number of 20 participants per group represents a cross section of the village if the group is composed according to the selected criteria.

- Even though the criteria for the group of participants were clearly defined, more older than younger people were present in the discussions. One reason for this condition was the timing of the survey. It took place during the rice transplanting season and therefore many younger people were not available.
- Although the selection of people according to the criteria was controlled with attendance lists by the survey teams and most of the criteria seemed to have been fulfilled, a bias cannot be excluded because the participants were chosen by members of the DOT/DFT and/or local authorities. Landless people were underrepresented in focus group discussions.

In summary, a pre-visit to the selected villages prior to the survey would reduce the problem of the focus group composition because more information about the social village structure could be gained.

# 4 The PFSM Methodology of Results-Oriented M&E

## 4.1 Criteria and Basics of the Methodology

As outlined in Chapter 1.2, one of the study's objectives is to develop a methodology for results-oriented M&E. In order for others to be able to apply this methodology, it has to fulfil several criteria.

The methodology should be:

- Simple: meaning easily applicable when being used by provincial and district staff of the commissioners' projects
- Down-to-earth: reflecting the real situation at village level rather than working with abstract concepts
- Fast: applying it must not exceed a period of 2 half-days which will keep burden on villagers and staff as well as costs down, and
- Reliable: drawing conclusions based on this data should help steer projects towards better results.

To develop this PFSM methodology several approaches, methods and tools of results-oriented M&E were screened using SWOT[10] analyses, and their best practices relevant to this study were selected. The most important approaches analysed were:

- CIDA and GTZ approach (CIDA 2000 and GTZ 2004)
- DAC Results-Based Mangement (DAC 2005)
- MAPP (Neubert 1998 and 2004)
- QUIM (Gomonda 2001)

During the field phase in Cambodia other qualitative and quantitative surveys were additionally screened. Possibilities for complementary application were discussed with representatives of organisations conducting such surveys. The most important of these is the World Bank financed "Moving out of Poverty Survey" conducted by the Cambodia Development Resource Institute (CDRI).

[10] Method to systematically assess **S**trengths, **W**eaknesses, **O**pportunities and **T**hreats of a certain issue.

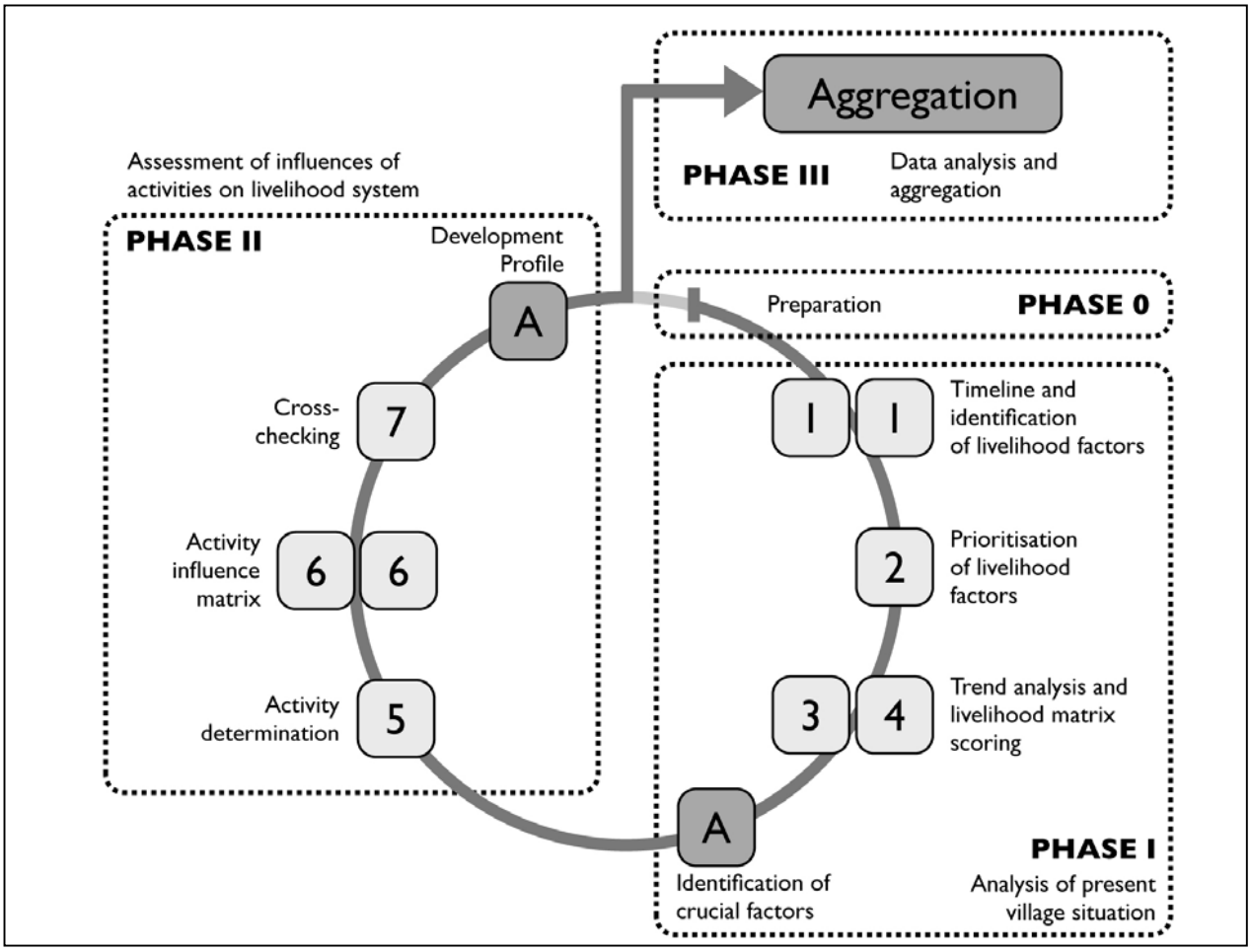
The results of this analysis were the basis on which the PFSM methodology was developed. As described in Chapter 2.2.2 the methodology of PFSM draws on three different concepts and combines parts of them to form a new methodological concept which emphasizes participatory methods to provide qualitative information which can be used for results-oriented monitoring and evaluation.

The advantage of this methodological concept, and the reason why it is able to fulfil the above stated criteria, is the fact that it takes a systems thinking approach which does not use conventional quantitative indicators. Instead, highly aggregated trend estimations are used to draw conclusions relevant for project steering. This approach is called “systemic” meaning an approach related to a system as opposed to analysis of a particular part.

The initial idea was developed during the preparation phase of the PFSM study, later adapted and further elaborated for pre-testing in one village in Kampot province. After the pre-test phase, final amendments were made and the research staff was trained in its application. The methodological sequence and aggregation tools described below were then used to survey eight villages in Kampot province, four for each commissioner’s project/programme.

## 4.2 Methodological Sequence

**Figure 8: Methodological Sequence (Source: PFSM 2005)**




The sequence of the PFSM methodology is divided into four different phases. Each phase could easily be separated and implemented at different stages within the project cycle (see Chapter 4.3.1 below for examples).

The initial Phase 0 covers all preparatory steps required before field application of the methodology begins. First, an appropriate sample of villages within the field area of the project is chosen which conforms both to the given detailed objectives of the project/programme and its available resources for the PFSM survey. Phase 0 also covers the setting-up of the focus groups in each village and the preparation of organizational aspects concerning transport, locations, invitations, etc. During this phase, the study team is set-up and trained. Last but not least, it includes a step for drawing up and/or adapting a list of livelihood factors specific to the socio-economic and agro-ecological situation of the study area.

Phase I aims at appraising the respective villages and the systemic interrelations of factors that determine their poverty and food security situation. It thereby assesses the way in which different factors in the village are influencing each other. Phase I does not address any project activities and their effects on the village but strives to understand how the village system "functions". Phase I is divided into different steps which are set up to keep data clear from bias (interpretations, expectations, wishful thinking, etc.) by villagers. At the end of Phase I a short analytical step is taken to compile preliminary results which will be used for the second phase of the PFSM methodology.

Phase II of the methodology focuses on assessing the influences of specific project activities or interventions on the village system. This second phase allows for a great deal of adaptation and flexibility. Specific information on adaptation of the methodology is provided in Chapters 4.3.1.1 to 4.3.1.3. Phase II concludes with a final analytical step in which data is documented in the so-called Development Profile for each village. The Development Profile summarises all relevant data about the village system and the ways interventions influence the system.

In the final Phase III the collected data is analysed and aggregated. Data entry and aggregation can easily be automated by means of an Excel Spreadsheet.

The following Subchapters present the overall sequence of the PFSM methodology in a brief overview. Figures and photos were drawn from one village process and represent an example of possible results. A detailed manual for the application of the methodology can be found in Annex 9.3.

### 4.2.1 Phase 0: Sampling and Preparation

The application of the PFSM methodology starts by **sampling** a chosen area and number of cases within this area. The selected sample area should be representative of the overall area to be covered by the actual project (for example, this may be nation-wide, at provincial level, or in an agro-ecological zone). The sample area can be chosen from an administrative level (village, commune, district, etc.) depending on the project. Statistical calculations are then made to find out how many cases need to be analysed to assure representative results.

In the case of this study the sample was basically predetermined. The focus of the PFSM commissioners was on the development and testing of a suitable methodology. The application of the methodology by the two study commission-

ers will later produce representative results. Therefore, it must be clearly stated here that the sampling of PFSM was not representative and was purely meant to identify a suitable area for testing this methodology. The findings cannot be taken as representative in a broader project/programme context. This fact leads to some limitations for the results of PFSM which are discussed in Chapter 5.

The second step of preparation involves the **selection and training of the survey team**. As described later, parts of the PFSM methodology require strong facilitation and group moderation skills. Therefore, it is essential to set up a survey team with experience in PRA tools in rural areas.

Depending on the number of cases (villages in the PFSM case), the number of teams and the number of facilitators can be determined. A maximum number of two cases can be implemented within one week. Each case needs a team of at least two facilitators, with at least one being native speaker of the lingua franca of the population. Each team nominates a spokesperson who is responsible for introductions, administrative tasks and delivery of survey data.

The group of facilitators is trained in the application of the methodology in form of a short workshop, which, if possible, should take place on two consecutive days. During the workshop, each step of the methodology is acted out with some group members taking the role of the target group while others are the facilitators.

At this point, **organisational aspects of the field survey** have to be taken care of. Each case (village) has to be informed about the exercise, two focus groups set up in each village and the logistic schedule for the survey developed. The most critical part is setting up the focus groups. Generally, the composition of these groups can be organised in accordance with the specific objectives of the survey. In the case of this survey it was agreed to have two separate groups: one composed of representatives from poor households and another group made up of major stakeholders in the villages. In the study area of PFSM this task was simplified by the existence of Most Vulnerable Household Lists at the communal level, which could be used for selecting participants. Each focus group was supposed to have between seven and ten participants representing a broad spectrum of the selected population. The total number of participants in this survey, therefore, ranged from 14 to 20 people per village.

According to local customs the issues of food, accommodations for the survey team, transport and specific requirements have to be arranged.

The last step before starting the field phase is the conducting of a **pre-test** in one village. The pre-test has three different objectives. It should

- Help adjust the methodology to local customs or specific needs which had not been taken into account during preparation
- Help test and amend the list of livelihood factors which is used by the facilitators to cover a broad spectrum of livelihood assets (see Annex 9.7 for the PFSM list), and
- Be an additional step of training for the survey team and help harmonise the mode of application used by the different survey teams.

After the pre-test, survey instruments and procedures can be adapted as needed.

### 4.2.2 Phase I: Analysis of the Village Situation

Phase I consists of three different exercises (or steps) which in part are carried out in two separate groups. The numbers in Figure 8 above give an overview of the different steps. The first step is called **timeline and identification of livelihood factors**. It focuses on the villagers' opinions about livelihood from a broad perspective and assesses the general village development over a given period of time. The exercise is carried out in two separate groups: one consisting of major village stakeholders and one of villagers including members of households on the Most Vulnerable Households List (MVHL). In the course of the exercise, members of both groups are encouraged to rate their present village situation on a scale ranging from very bad through average to the best possible situation. Starting with the present situation and moving backwards year by year the situation for each year is marked on the same scale, showing if the situation was better or worse than the year before. Reasons for changes, important events and observed criteria are documented within the timeline by the facilitators.

**Figure 9: Timeline (Major Stakeholders) (Source: PFSM 2005)**

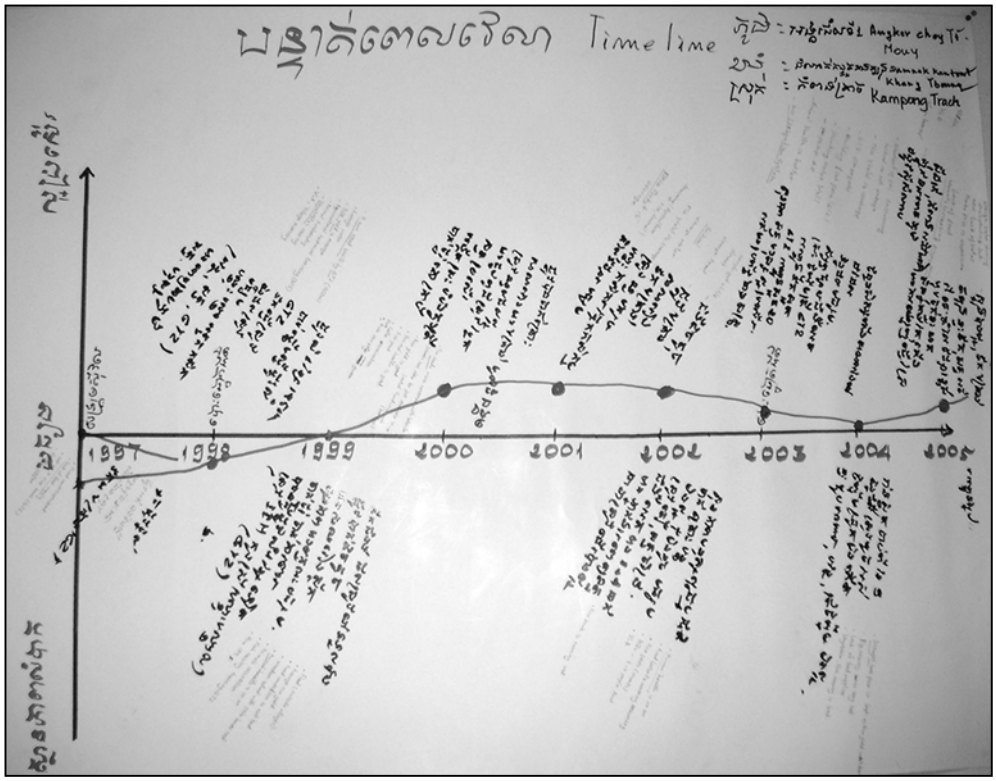
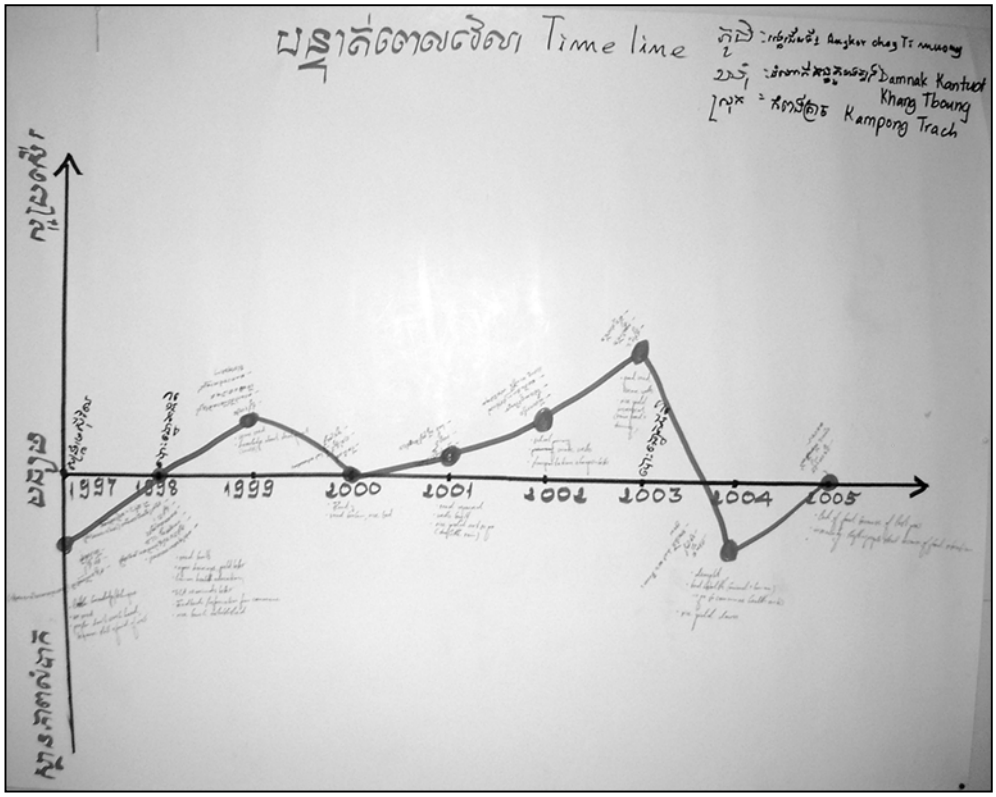
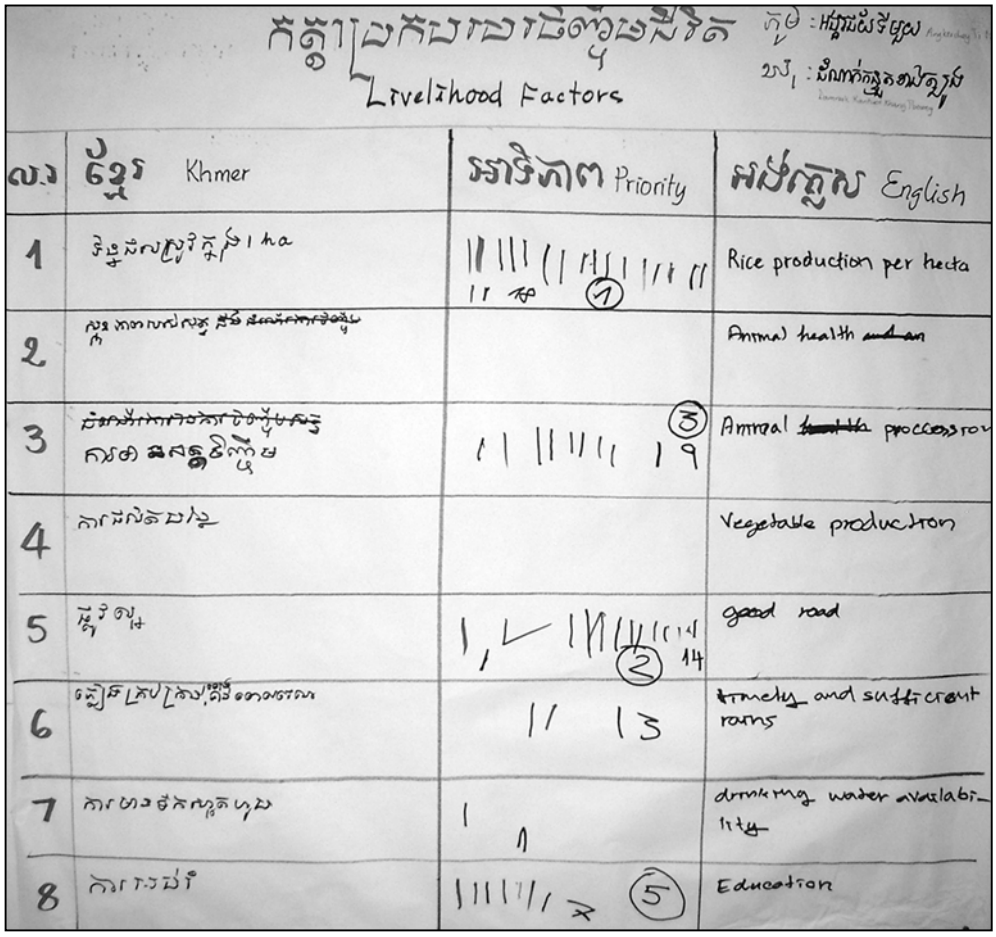


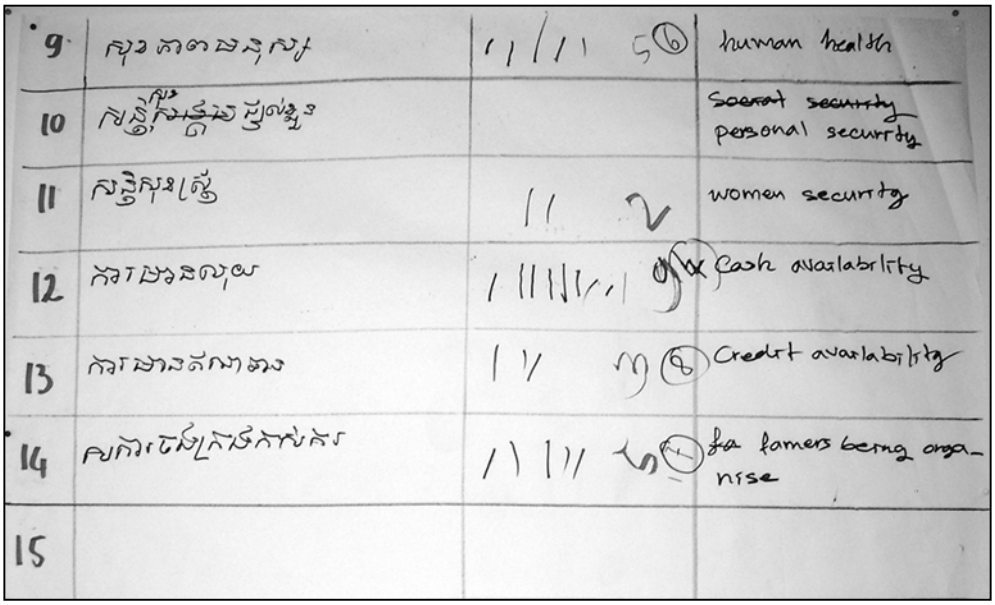

**Figure 10: Timeline (Members of MVHL) (Source: PFSM 2005)**



The next step is the collection and prioritisation of livelihood factors. The objective of this step is to identify factors that determine the village situation as being bad or good – so called livelihood factors. Both groups meet and start with a comparison of the drawn timelines. The two different timelines serve as a pool for mutual discussion about which livelihood factors are thought to make a situation good or bad. All of these factors are collected in a prepared matrix. The facilitators ensure that all five livelihood assets of the livelihood pentagon (see Chapter 2.1.3, Figure 1) are covered, and come up themselves with suggestions of additional livelihood factors if necessary. A prepared list of livelihood factors suitable for the respective situation was developed during the pre-test and is consulted by the facilitators. The last but crucial part of this second step is the prioritisation of the collected livelihood factors. Every participant is asked to mark the four most important livelihood factors from his or her individual perspective. The eight factors with the most marks are collected and specially marked. They are the basis for all further steps of the methodological sequence.

**Figure 11: Collection and Prioritisation of Livelihood Factors (Source: PFSM 2005)**





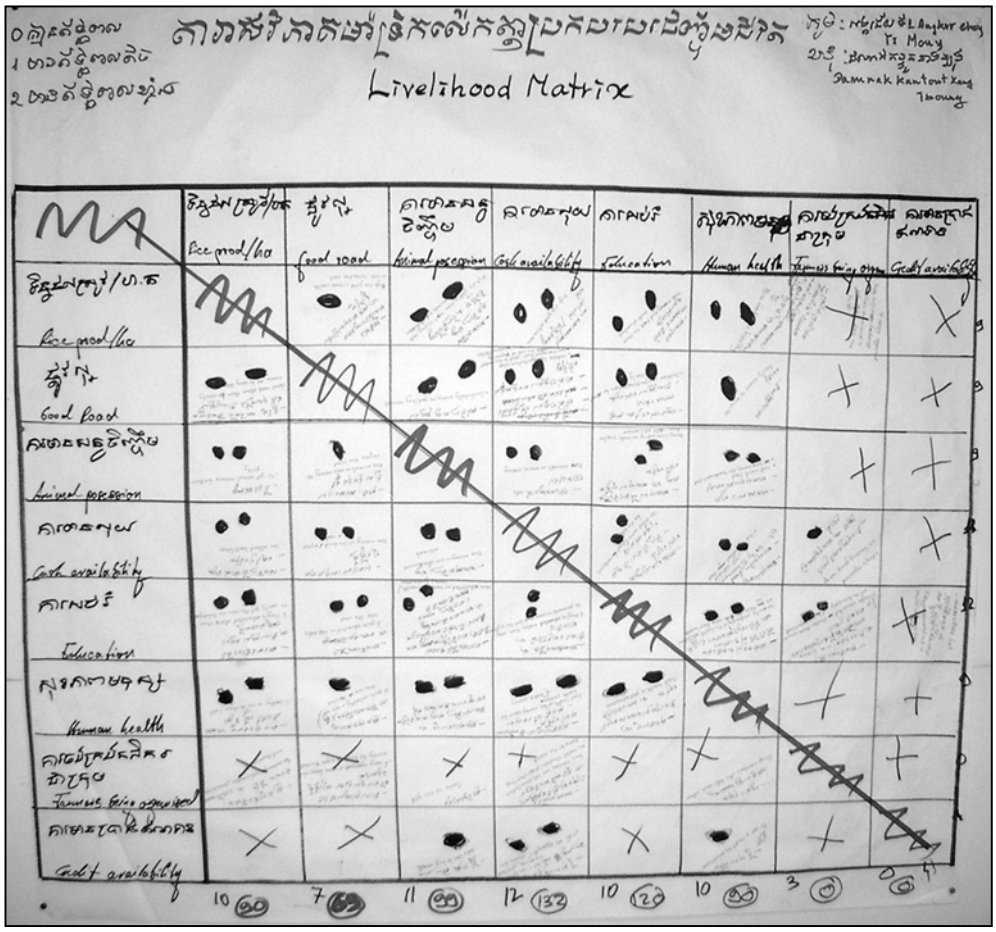

For the last step of Phase I all participants are separated into two mixed groups and work in parallel on the two following steps. For the set up of the mixed groups, the former groups of major stakeholders and villagers (incl. members of the Most Vulnerable Household List) meet again. The facilitators divide each group into two new groups, making sure that age and gender are equally represented in each of the four new groups. Two of these four sub groups are then joined together and form the mixed groups for the next steps.

The first group undertakes a **trend analysis** of the chosen eight livelihood factors. The aim of the trend analysis is to find out about the development of each livelihood factor in the village over an agreed period of time and the reasons which have led to changes. A prepared sheet (see Figure 12) is filled in with the eight chosen livelihood factors in the order of their priority. For each year a column of boxes is provided in which the group is asked to place scores (e.g., in form of stones, seeds, etc.) according to the respective situation. The scale ranges between no stone for the worst situation and five stones for the best possible condition regarding the given livelihood factor. Each livelihood factor is rated separately over the time period.

**Figure 12: Trend Analysis ("X" Marks Boxes Where No Stones Have Been Put) (Source: PFSM 2005)**


While the first group is working on the trend analysis, the second group is undertaking a **livelihood matrix scoring.** The objective is to find out about the interrelations between/among livelihood factors. The matrix scoring exercise is based on the paper computer method (Vester 1976). In a prepared 8x8 matrix, the influence of each livelihood factor on each other one is assessed. This step needs precise explanation and high facilitation skills to produce reliable results. The influences are once again rated by putting stones into the respective boxes after the group has jointly reached agreement on the level of influence. The scale ranges from "no stone" for no influence to two stones for a remarkable and/or very direct influence. The rating is carried out for one livelihood factor after the other (see Figure 13). Reasons for the ratings are specifically asked and documented in the respective boxes by the facilitator.

**Figure 13: Livelihood Matrix Scoring ("X" Represents Boxes With No Influences) (Source: PFSM 2005)**

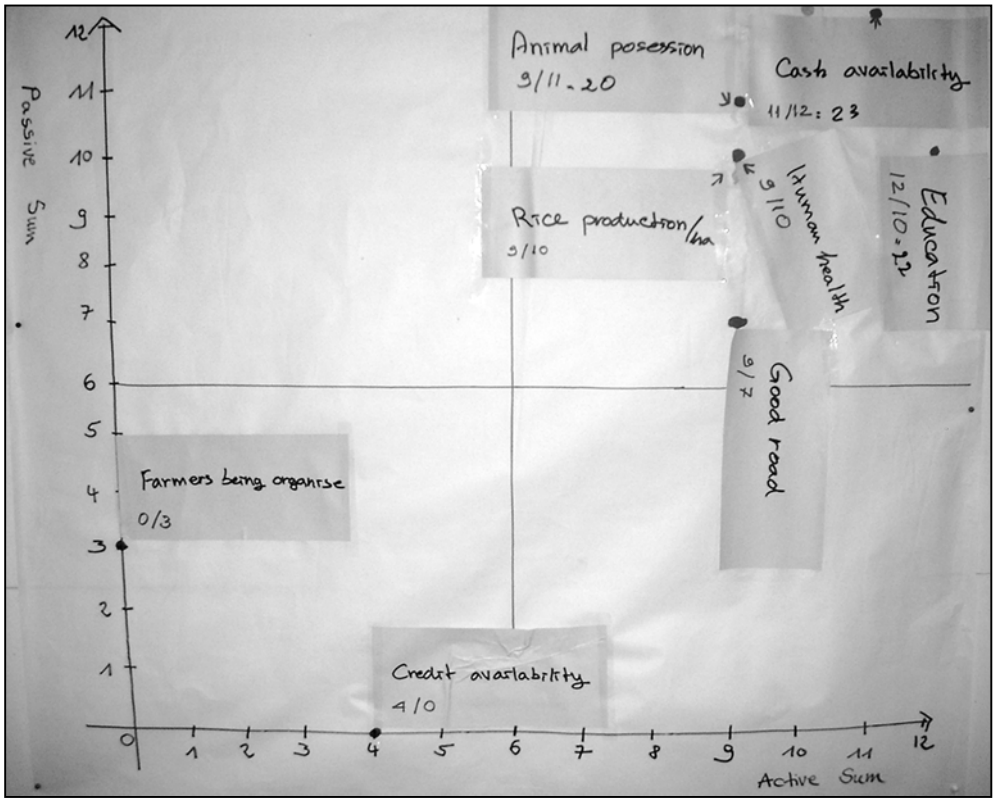



These two parallel exercises of trend analysis and livelihood matrix scoring conclude the village level data collection for Phase I. This data is then analysed in the research group and used for preparation of Phase II of village level data collection.

The analytic step at the end of Phase I is aimed at making an **appraisal** of the village as a dynamic **system**. The livelihood matrix scoring which the two groups worked on provides the basis for this step. As seen in Figure 13 above, the sums of given influences (number of scores) are calculated for each row and each column of each livelihood factor. The sum for the columns is called "passive sum" (PS) and gives an impression of to what degree a certain livelihood factor is influenced by all other factors. The sum for each row or "active sum" (AS) shows the extent to which a certain livelihood factor influences others.

All livelihood factors are then placed into a chart with AS and PS being the coordinates (see Figure 14).

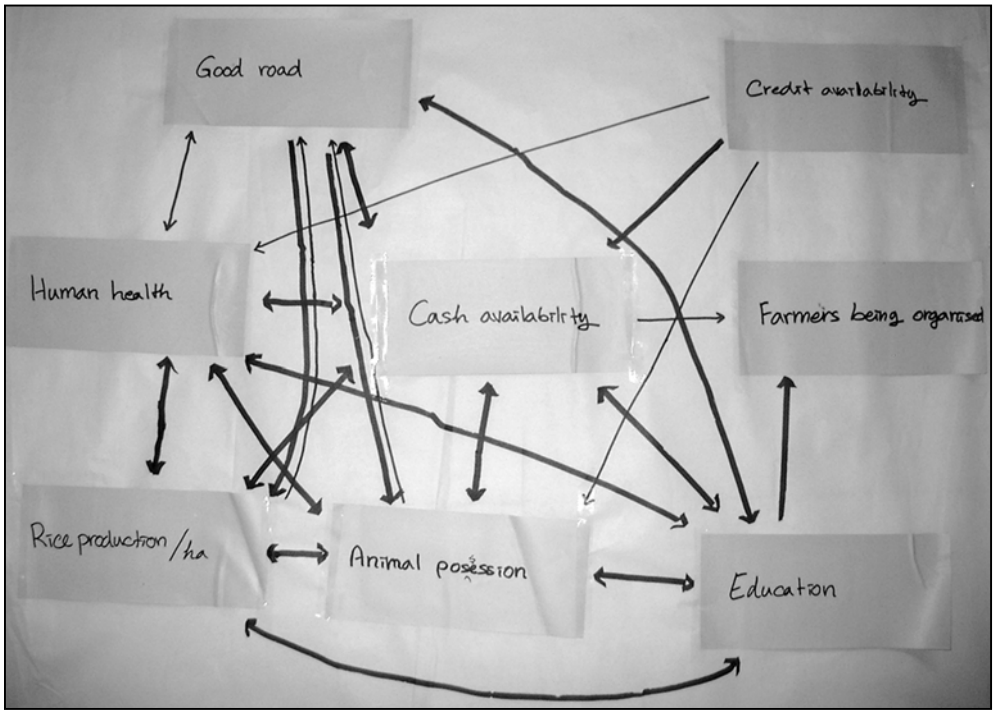
**Figure 14: Identification of Crucial Livelihood Factors (Source: PFSM 2005)**




By dividing the field of livelihood interrelations into four equally sized quadrants, crucial factors of the system can be identified. The bottom right field shows the “active factors” which have a high active and low passive sum. They are difficult to influence but they are strongly influential for the system. The top left field shows factors that are very much influenced by others but not very influential themselves. Normally, there are not many factors in this field. The bottom left field would contain factors that have no strong influence and are not much influenced by others. The top right field displays the **critical – or crucial – factors** which are highly influential and are very much influenced by other factors. They are the factors that should closely be observed in order to trigger sustainable change in the respective village.

The information of the livelihood matrix scoring can also be displayed in a graphic format for further analysis at this stage. Figure 15 shows an example.

**Figure 15: Livelihood Network (Source: PFSM 2005)**




### 4.2.3 Phase II: Assessment of Interventions' Influences

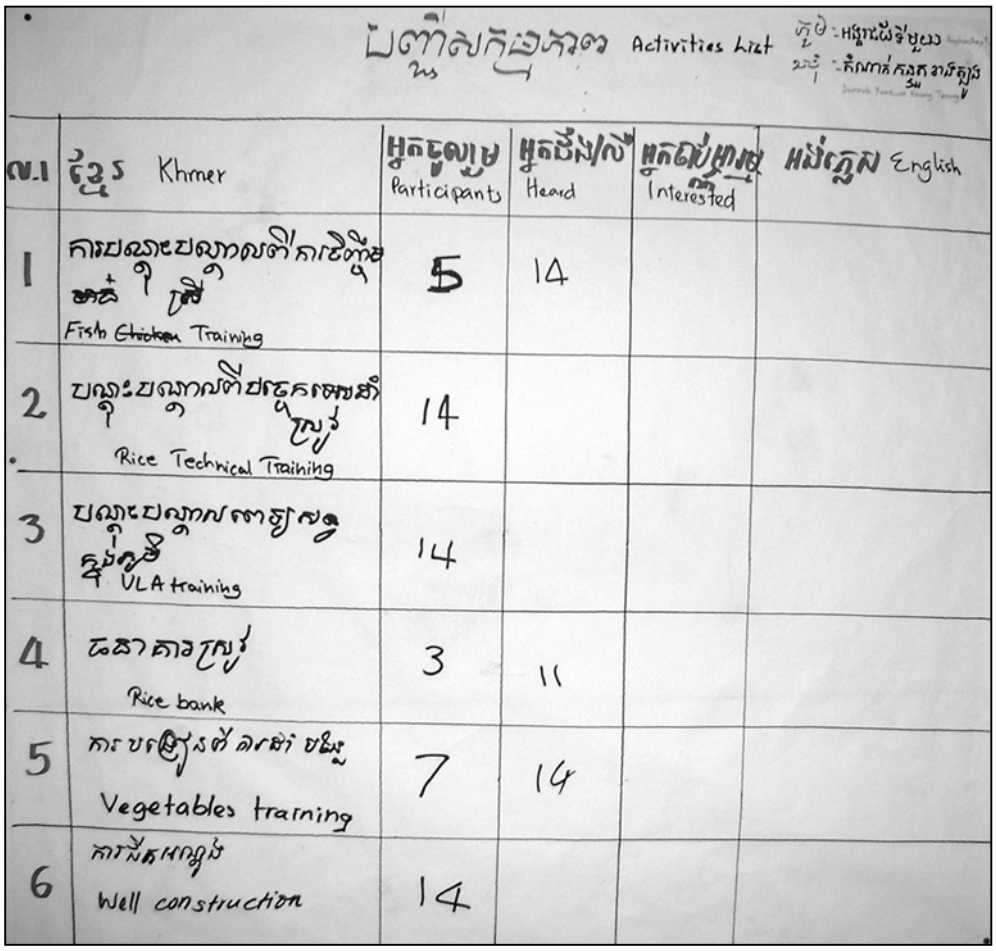
Once the village system has been identified in Phase I, Phase II focuses on assessing influences of interventions on the most important livelihood factors identified by the village population and, therefore, on the village system.

The first step is to **introduce the interventions or activities** which are going to be assessed. In the PFSM example four typical interventions of the respective focus project (four villages with CBRDP focus, four with FSPR as project focus) were introduced in a prepared matrix (see Figure 16). All of these four activities are briefly presented and the facilitators check if participants are able to identify the interventions. Two additional activities identified by the participants in an open plenary discussion are then added to the list of activities to be analysed. The most important factor at this stage is a clear definition of the "depth" of the compared activities. In order to produce reliable and comparable results, the activities chosen should have a comparable level of detail.

In the case of PFSM an activity such as "Farmer Field School" of FSPR and e.g., "Fruit Trees Planting" would not have a comparable level of detail. In this case, "Farmer Field School" would be unpacked to the level of, e.g., "Rice Demonstrations in the Course of Farmer Field Schools" etc.

For each of the activities the number of beneficiaries among the participants is identified, and among the remaining non-beneficiaries the number of people with knowledge about the respective activities and interventions counted. Additionally the year and – if possible – the month in which the activity was started is assessed. The exact time is needed for correct aggregation in Phase III.

**Figure 16: Matrix of Activities with Number of Beneficiaries (Source: PFSM 2005)**



Activities List

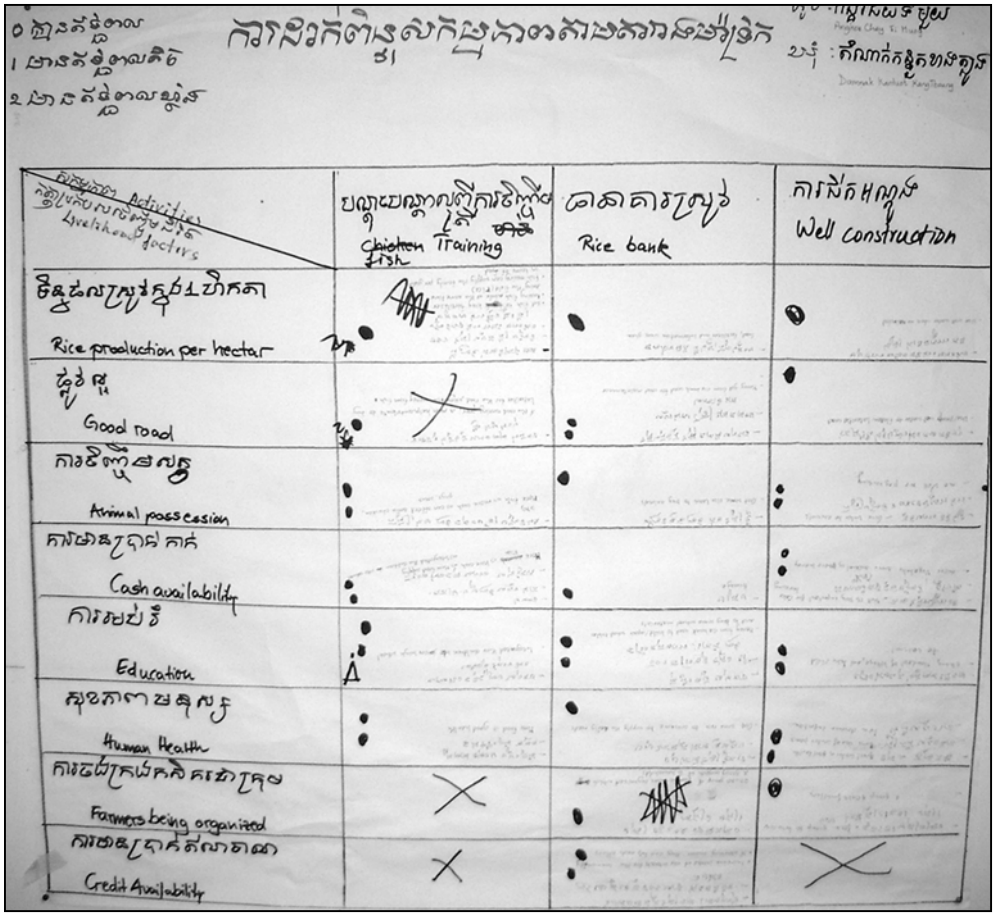
| ល.រ | ភាសា Khmer | អ្នកចូលរួម Participants | អ្នកដឹង/ស្តាប់ Heard | អ្នកចង់ចូលរួម Interested | អង់គ្លេស English |
|---|---|---|---|---|---|
| 1 | Fish Chicken Training | 5 | 14 | | |
| 2 | Rice Technical Training | 14 | | | |
| 3 | VLA training | 14 | | | |
| 4 | Rice bank | 3 | 11 | | |
| 5 | Vegetables training | 7 | 14 | | |
| 6 | Well construction | 14 | | | |

The second step of Phase II is the **activity influence matrix scoring**. This is again undertaken in two groups working in parallel. Each subgroup carries out the matrix scoring exercise with three activities. To set up the subgroups, three activities are assigned to each subgroup. After this all participants are assigned to one of the subgroups with a focus on maximising the number of beneficiaries for the respective activities. Both groups work in parallel and carry out a matrix scoring exercise of three activities so that all six activities are scored.

For each activity the actual influence of the activity on the eight livelihood factors identified in Phase I is given a score. The scoring is done after the group has

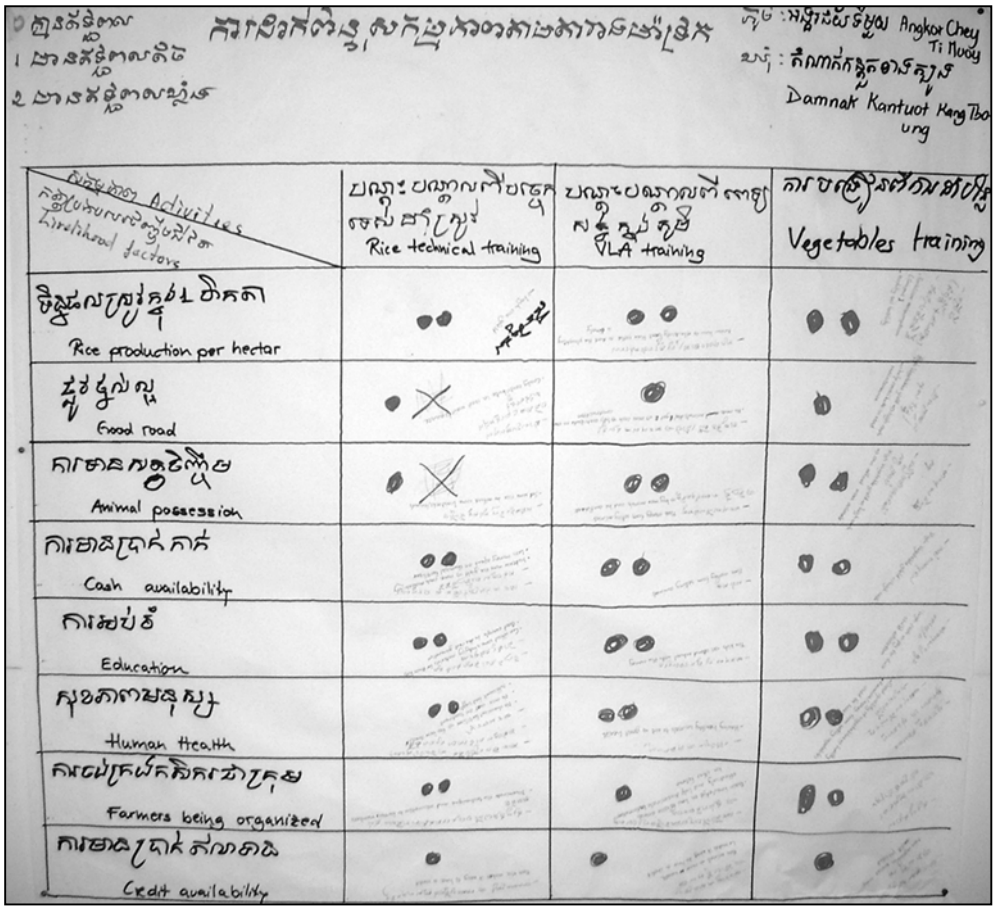
reached joint agreement on each activity. The scale of influence on the respective livelihood factors again ranges from “no stone” for no influence to “two stones” for a strong influence. In the PFSM case the facilitators strongly emphasised that only actually observed influences should be rated, and encouraged the villagers to leave out expectations or interpretations as much as possible. In other cases it may be possible and viable to also assess expected effects. The reasons given for the ratings are again collected and the qualitative information documented in the respective boxes.

**Figure 17: Activity Influence Matrix for One Subgroup (Source: PFSM 2005)**




In addition to the assessment of influences on the eight most important livelihood factors the facilitators ask about any other important influences caused by each activity. These (unexpected or unintended) positive or negative influences are collected on cards and later included in the data analysis.

**Figure 18: Activity Influence Matrix for the Second Subgroup (Source: PFSM 2005)**




The final step of village level data collection is a **crosschecking** exercise using a short village walk. During the village walk open questions from Phase I and Phase II are addressed. By visiting important sites in the village, verifying answers given in the exercises in practical life, and giving more passive participants the chance to raise additional points that they had not mentioned in the group discussions, the results are verified.

After the data has been collected, the last step in Phase II is the documentation of all collected data in the format of a so-called "**Development Profile**". An Excel spreadsheet is available for the data collected from different steps and can automatically format village Development Profiles. One example of a Development Profile is displayed in Chapter 5.1.1. All Development Profiles of the PFSM survey can be downloaded from www.berlinerseminar.de.

The profiles consist of different parts. The first part of the profile displays the livelihood factors in the order of their importance according to the villagers' percep-

tion. Special marks show those livelihood factors which were identified as crucial factors and are possible “steering wheels” for changes within the village system. At the same time, the average level is given and the trend direction for each livelihood factor highlighted. Remarks summarise important qualitative information and reasons for the respective trends.

The second part of the Development Profile shows how each activity or intervention influences each livelihood factor. At the same time, the initial level for each livelihood factor when the intervention started and the trend of the livelihood factors since the beginning of the respective activity is calculated. Remarks and conclusions summarise the reasons for the scoring and additional important qualitative information.

**Figure 19: Part of the Village Development Profile (Source: PFSM 2005)**

**Development Profile**

| | |
|---|---|
| Village / Date: | Kandal / 29. - 30.8.2005 |
| Commune/District: | Chumpo Voarn/Chum Kiri |
| Project Focus: | FSPR/FAO (pilot: 1998-2003) FFS 2002 |
| Population / MVH | 721 / 11 |

Notes: training enables villagers to take better care of their animals; it generates income; availability of medicine is still a problem in the village.

Activity 1: Animal husbandry training (2002)

| No | Livelihood Factor | Trend -- | - | 0 | + | ++ | Avg. | Remarks | Influence 0 | 1 | 2 | Lev 2002 | AvAc | Remarks | Conclusions |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Human Health | | | | | | 2.44 | stable low level trend until 2000 when a health center was built in the commune, situation improved; drought in 2004 affected Human Health negatively as people used pond water | | | | 3 | 3.25 | | |
| 2 | Access to NGO | | | | | | 3.33 | stable low level trend until 2000. Up from 2000 trend steady at a high level, situation improved as CBRDP/FSPR implemented some projects, followed by FSPR in 2003 | | | | 5 | 5.00 | | |
| 3 | Irrigation water availability | | | | | | 0 | trend stable because as yet there is no available working irrigation system in the village; old channel exists, linked to the broken irrigation system of Steung Pea but there is no watergate to control waterflow | | | | 0 | 0.00 | | |
| 4 | Animal Health | | | | | | 2.22 | stable low level trend until 2000.; in 2001 a VLA for the village was trained ; trend improved steadily; in 2004 situation deteriorated shortly due to drought (many animals died) | | | | 3 | 3.00 | people know now about animal health and treatment after the training and use their knowledge to improve the health of their animals. | positive impact of training in combination with the presence of a VLA; people can cope better with droughts |
| 5 | Draught animals affordable | | | | | | 2.11 | stable low level trend until 2003 when an animal husbandry training was conducted in the village; draught animals could be afforded after the training | | | | 2 | 2.75 | people could buy draught animals; the draught animals were not influenced by the drought in 2004 as the people took more care of them than of other animals | training generates income (healthy animals can be sold) which is used for different purposes, e.g. education |
| 6 | Rice yield per hectar | | | | | | 1.77 | negative low level trend, situation improved from 2000 on due to trainings offered by organisations; drought in 2004 had a severe impact on rice yield | | | | 3 | 2.33 | small animal husbandry provides manure, organic fertilizer used preferably in seeding fields; seedlings are stronger and the rice yield increased | use of manure has positive effect on rice seedlings |
| 7 | Cash availability | | | | | | 2.55 | stable high level trend; road building in 2003 reduced transport time and costs to the markets; in 2004 the situation deteriorated shortly due to drought | | | | 3 | 3.25 | Animals are healthier and more animals can be sold at the market | training generates more income due to improved animal production |
| 8 | Drinking water availability | | | | | | 0.55 | stable very low level trend until 2003, when FSPR built a well and there were two wells working; in drought year 2004, well of FSPR dried out, drinking water was bought at the market | | | | 0 | 1.25 | | |
| | Total | | | | | | 1.13 | | | | | | | | |

Other Influences: more food is available

| Participants: | Beneficiaries | | | Know about | Interested |
|---|---|---|---|---|---|
| | 10 | | | | |

For better comparison and more detailed information see Figure 25 in Chapter 5.1.1.

### 4.2.4 Phase III: Methodology for the Aggregation of Results

As already mentioned in Chapter 4.2.3 the findings based on the compiled data for each village and their respective analyses are summarised in a Development Profile of each village.

These profiles are a short and comprehensive way of displaying the livelihood factors in the present situation and the trend of each livelihood factor in recent years. These Development Profiles could easily be used at village and commune levels to strengthen village and communal level planning procedures (see Chapter 6.4 for further discussion).

For the purposes of the PFSM study these Development Profiles are a major achievement of the study's objectives. To make it easier to use these results for project steering, PFSM has developed an additional step: the aggregation of village level results. Aggregation of these results is the final part of the PFSM methodology. For this exercise a simple Excel-spreadsheet has been developed to collect all obtained data and at the same time automatically aggregate results for specific activities. The PFSM methodology relies on qualitative information that has been quantified during the process as villagers reflected on their own situation and quantitatively rated their opinions. It applies an approach that puts the villagers in the main role as experts discussing and assessing their respective situation.

A test of the results of the eight studied villages brought out striking similarities in the definition of livelihood factors. The qualitative and villagers-based systemic approach can therefore be seen as viable for aggregating data which is able to come up with reliable results for a larger – project related – context. For further discussion see Chapter 5.1. It must still be kept in mind, however, that this study is not representative because of the limited number of surveyed villages. The findings of these specific case studies do not necessarily reflect the situation in the overall population. Therefore, the cases will be treated anonymously when touching project related issues.

#### Verifying Network Pattern

The first step of aggregation is to verify the reported network patterns. All liveli-

hood factors identified by the villagers are collected, and ranked according to the priority which the villagers had given[11] (see column "Weight of priority rank" in Table 6) each one of them, i.e., how often they were mentioned and how often they were considered crucial. Four of the factors were mentioned in seven to eight cases and were also reported more frequently than the other factors as being crucial at the village level. Hence, these are the four major livelihood factors. According to the network thinking approach described in Chapter 2.2.2, these four aggregated critical livelihood factors are strong determinants of village livelihoods and therefore also of the poverty and food security situation. They are the steering wheels to be addressed when implementing activities to change the livelihood situation in a sustainable manner.

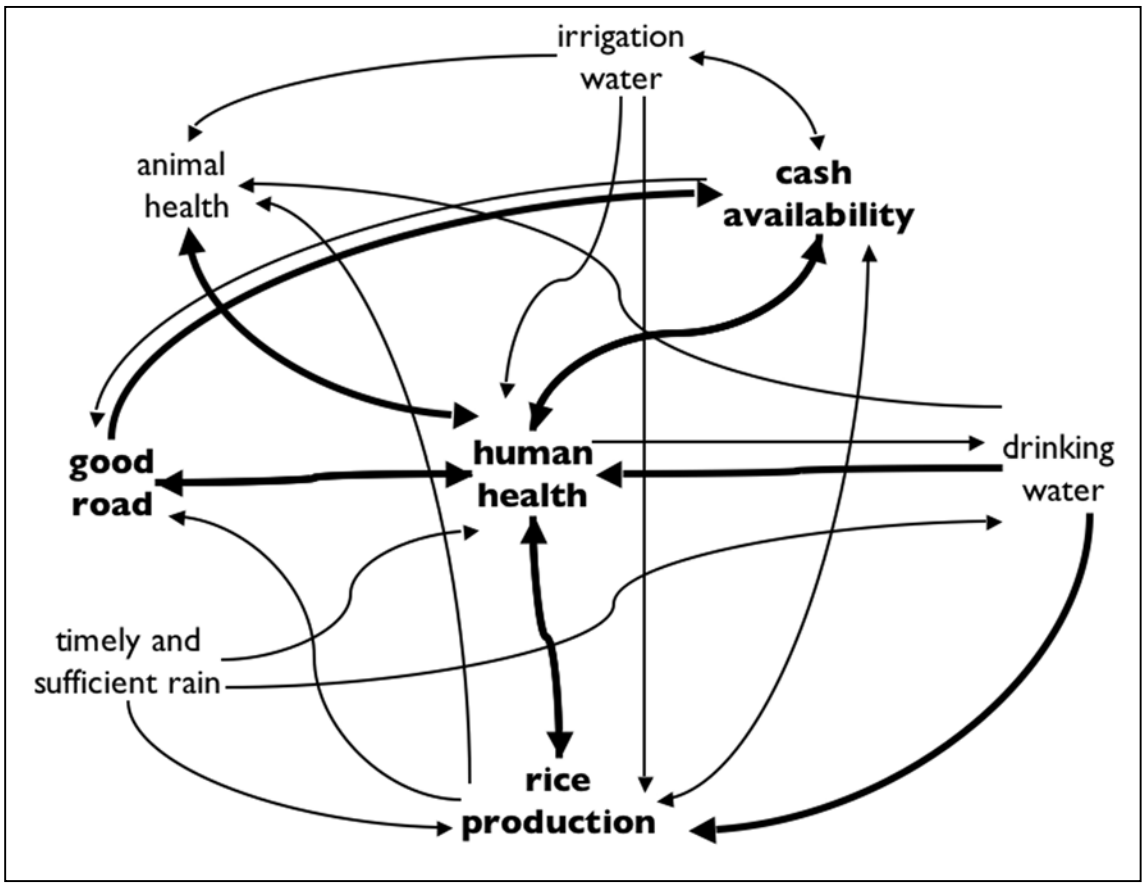
**Table 6: Most Important Livelihood Factors for PFSM Sample of Eight Villages (Source: PFSM 2005)**

| | **Livelihood Factor** | **Number of appearances** | **Weight of priority rank** | **Number of times as crucial factor** |
|---|---|---|---|---|
| **1** | **Human health** | **8** | 54 | **7** |
| **2** | **Good road** | **7** | 42 | **2** |
| **3** | **Rice production** | **7** | 29 | **3** |
| **4** | **Cash availability** | **7** | 24 | **4** |
| 5 | Drinking water | 6 | 22 | 0 |
| 6 | Irrigation water | 5 | 25 | 1 |
| 7 | Animal health | 5 | 19 | 1 |
| 8 | Timely and sufficient rain | 4 | 20 | 0 |

[11] The least important livelihood factor is assigned one point and the most important livelihood factor eight points.

In a second step, the number and strength[12] of influences among the eight most important livelihood factors were added up for all eight villages. The following figure displays an exemplary result of an aggregated network for the most important livelihood factors. The thick arrows represent influences that were identified in more than five of the eight villages. Thin arrows show the interrelations which were mentioned in more than three villages. Other influences have been left out in this diagram of aggregated information.

**Figure 20: Aggregated Network for the Most Important Livelihood Factors (Source: PFSM 2005)**




All further aggregations are based on the most important four livelihood factors. In this PFSM pilot study these four factors are human health, quality of road, amount of rice produced and cash available on household level.

[12] Numbers added are drawn from the livelihood matrix scoring exercise with 1 for medium influences and 2 for strong influences among livelihood factors.

## Aggregation of Activity Influences

Aggregation of results for selected project interventions is carried out in 4 steps:

**Step 1** involves transferring all data collected in the village to Excel-spreadsheets (see Figure 19 and Chapter 5.1.1). Crucial livelihood factors are specially marked and an average trend level for each livelihood factor is calculated based on the trend analysis over time (see column “Avg.” in Figure 19 and Figure 25). The initial levels for each livelihood factor in the year when the respective project/programme intervention started are also drawn from the trend analysis (see column “Lev” in Figure 19 and Figure 25). For each activity the average level of each livelihood factor is calculated separately for the period covering the start of implementation of the activity until now (“AvAc” in the Development Profile, Figure 19 and Figure 25).

**Step 2** is the automatic transfer of aggregated data into a special sheet within the spreadsheet (see Figure 21). In this sheet the initial level for each livelihood factor is subtracted from the calculated average level (“AvAc”). A positive number indicates some positive influence of an intervention and a negative number indicates a negative influence[13]. In case of a positive trend, the next step is to compare this trend with the respective result from the activity matrix scoring (where the project/programme influence is rated). Only in the case of an identified project/programme influence (one or two stones) can the final conclusion be drawn that the intervention influenced the trend in the given way (see also Chapter 5.1).

[13] Note: This simplified technique is only applicable in circumstances of steady trends and for a time period up to approx. 10 years as observed in this study. For longer periods the simple subtraction does not give a reliable result for positive or negative trends. Changes could have occurred within longer time spans, that are not represented by an arithmetic average.

**Figure 21: Example of Aggregation for the Activity Rice Technical Training (Source: PFSM 2005)**

**Activity 1**

**Village 1**

| Livelihood Factor | Average Level of LHF (0-5) | Initial Level (on beginning of activity) | Change in LHF since beginning of activity | General Trend of Livelihood Factor | Influence of Activity on LHF | | Comments |
|---|---|---|---|---|---|---|---|
| Rice production per capita | 3.38 | 3 | 0.38 | POSITIVE | 2 | Project Effect | |
| Good Road | 3.25 | 1 | 2.25 | POSITIVE | 1 | Project Effect | |
| Animal | 3.13 | 1 | 2.13 | POSITIVE | 1 | Project Effect | |
| Cash availability | 2.00 | 1 | 1.00 | POSITIVE | 2 | Project Effect | |
| Education | 3.00 | 2 | 1.00 | POSITIVE | 2 | Project Effect | |
| Human Health | 2.75 | 2 | 0.75 | POSITIVE | 2 | Project Effect | |
| Farmers being organised | 0.00 | 0 | 0.00 | NEGATIVE/ NEUTRAL | 2 | | ? Information sharing only - no organisation |
| Credit availability | 2.50 | 3 | -0.50 | NEGATIVE/ NEUTRAL | 1 | | |

**Village 2**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Land Availability | 1.50 | 2 | -0.50 | NEGATIVE/ NEUTRAL | 0 | | |
| Human Health | 0.50 | 1 | -0.50 | NEGATIVE/ NEUTRAL | 2 | | |
| Drinking Water Availability | 2.50 | 4 | -1.50 | NEGATIVE/ NEUTRAL | 0 | | |
| Food Availability | 2.50 | 4 | -1.50 | NEGATIVE/ NEUTRAL | 2 | | ? Not clearly related, but positive |
| Cash Availability | 1.00 | 1 | 0.00 | NEGATIVE/ NEUTRAL | 2 | | |
| Timely and Sufficient rain | 1.25 | 2 | -0.75 | NEGATIVE/ NEUTRAL | 0 | | |
| Good road | 2.00 | 2 | 0.00 | NEGATIVE/ NEUTRAL | 0 | | |
| Rice production per capita | 1.00 | 1 | 0.00 | NEGATIVE/ NEUTRAL | 2 | | ? Positive, but drought still a problem |

**Village 3**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Timely and sufficient rain | 3.00 | 3 | 0.00 | NEGATIVE/ NEUTRAL | 0 | | |
| Human health | 2.20 | 2 | 0.20 | POSITIVE | 2 | Project Effect | ? More diseases negative, but rice influence positive |
| Good road | 2.60 | 4 | -1.40 | NEGATIVE/ NEUTRAL | 0 | | |
| Rice production | 3.00 | 3 | 0.00 | NEGATIVE/ NEUTRAL | 2 | | ? Positive influence, but influence of flood and drought higher! |
| Sufficient drinking water | 2.60 | 3 | -0.40 | NEGATIVE/ NEUTRAL | 0 | | |
| Animal health | 1.80 | 2 | -0.20 | NEGATIVE/ NEUTRAL | 2 | | |
| Taking part in election | 1.60 | 0 | 1.60 | POSITIVE | 0 | other effects | |
| Hygiene and sanitation | 3.00 | 3 | 0.00 | NEGATIVE/ NEUTRAL | 0 | | |

**Step 3:** Here the above computerized findings are crosschecked with the qualitative information given in the Development Profiles. The reasons for influences of activities on each livelihood factor are critically screened and crosschecked with the Profile. In this way unexpected results can be cleared up. For example, the

computerized finding that rice training does not influence rice production is collated with the profile's information and one finds that there were drought conditions for two years after the training which prevented any potential positive influence of the training intervention. Such specialised remarks can be entered on the aggregation sheets (see Figure 21) in a special column. Summarised aggregated results for each activity are now available.

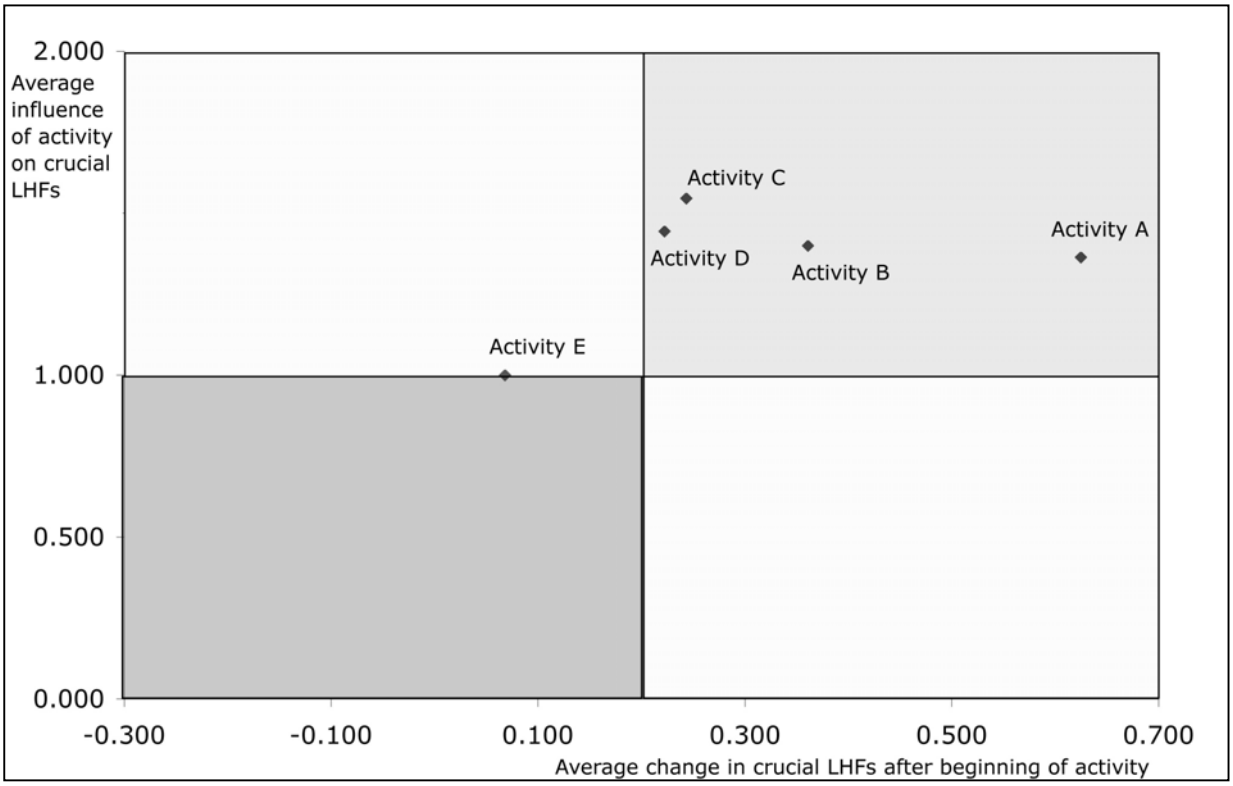
**Step 4** is positioning of each tested activity according to what extent it influences the four most crucial livelihood factors (see Table 6), and the observed trend of the crucial livelihood factors after implementation of the respective activity (see Figure 22). This portfolio analysis provides information for project management about **effectiveness** and **efficiency** in stimulating crucial factors of the livelihood system. A more detailed explanation is given in Chapter 5.1.

The horizontal axis displays the actual changes of the crucial livelihood factors. It is calculated as the average change of all four crucial livelihood factors for all villages where the activities influence had been assessed (the average of all grey marked boxes in row "change in LHF since beginning of activity" in Figure 21). A high positive number represents a positive trend of the crucial livelihood factors after beginning of the project, zero or a negative number mark a neutral or negative trend respectively.

On the vertical axis the average influence of all analysed activities on the crucial livelihood factors is displayed. This average can range from zero (no identified influence of the activity on the crucial livelihood factors) to two (activity influence on all the crucial livelihood factors in all villages was very strong). These two numbers are calculated for all activities under survey. The positioning of each activity in the portfolio analysis (see Figure 22) gives an overview of the performance of all activities at a glance. The chart "Portfolio Analysis" is divided into four equally sized quadrants. The top right field shows those activities that seem to be effectively and efficiently implemented. The field in the bottom left corner of the diagram represents those activities which should be analysed much more closely.

Results and more details on how to interpret the portfolio analysis for selected project interventions can be found in Chapter 5.1.3.

**Figure 22: Portfolio Analysis of Six Activities (Source: PFSM 2005)**




## 4.3 Conclusions on PFSM Methodology

### 4.3.1 Use and Adaptation of Methodology

Once the PFSM methodology had been field tested, a thorough analysis of the potentials and limits of the developed methodology was undertaken. The PFSM team, local resource persons and potential users were included in this exercise. The results were put together in a SWOT-format table below. Weaknesses/challenges and opportunities are further discussed in Chapters 5.3.

**Table 7: SWOT Analysis of the PFSM Methodology (Source: PFSM 2005)**

| **Strengths** | **Weaknesses / Challenges** |
|---|---|
| • Method is simple in its application at field level<br>• Documentation format (Development Profile and aggregation sheet) is simple and transparent<br>• Method is oriented towards open results<br>• Chosen tools allow active participation of villagers (appropriate tools)<br>• Method is appropriate to integrate poor people into the process<br>• Method opens up the view beyond project focus (broad approach)<br>• Method is suitable for complex situations<br>• Method has a strong capacity-building aspect (villagers learn more about their livelihood system)<br>• Results are not 100% accurate but give a good picture about how villagers see their reality and allow for estimation of likely effects | • Timing for field-testing is crucial (for farming communities the transplanting season is usually very busy)<br>• Objective of the data collection in the village has to be made very clear to prevent the raising of expectations<br>• Method needs strong facilitation skills; e.g., ensure participation throughout the process and avoid possible domination by some stakeholders<br>• Set-up of groups in the villages crucial for reliability of results: power, gender, age etc. (emphasis on set-up of groups)<br>• Method is partly difficult for illiterates (good facilitation necessary, especially sufficient time for explanation)<br>• Livelihood matrix scoring is challenging<br>• Method relies on villagers perception (possible bias is buffered by the results of Phase I) |
| **Opportunities** | **Threats** |
| • Method can flexibly be adapted to other project contexts (e.g., special targeting strategies could be represented by set-up of groups); see Chapter 4.3.1<br>• Method is suitable to be adapted for special gender focus of group discussions<br>• Method is suitable for special poverty focus (specific group composition) | • Qualitative methods are often considered less reliable than quantitative methods |

The general experience after field-testing is that the methodology meets the demands of the PFSM commissioners and is at the same time suitable for different project contexts.

Suggestions for incorporating this PFSM methodology into the commissioners' projects are made in the following two Subchapters. Besides these project-specific advantages of the application of the PFSM methodology, there are also more comprehensive positive effects as can be seen below. A more general scope for adaptation of the methodology for other contexts is described in Chapter 4.3.1.3.

### Advantages of using Development Profiles

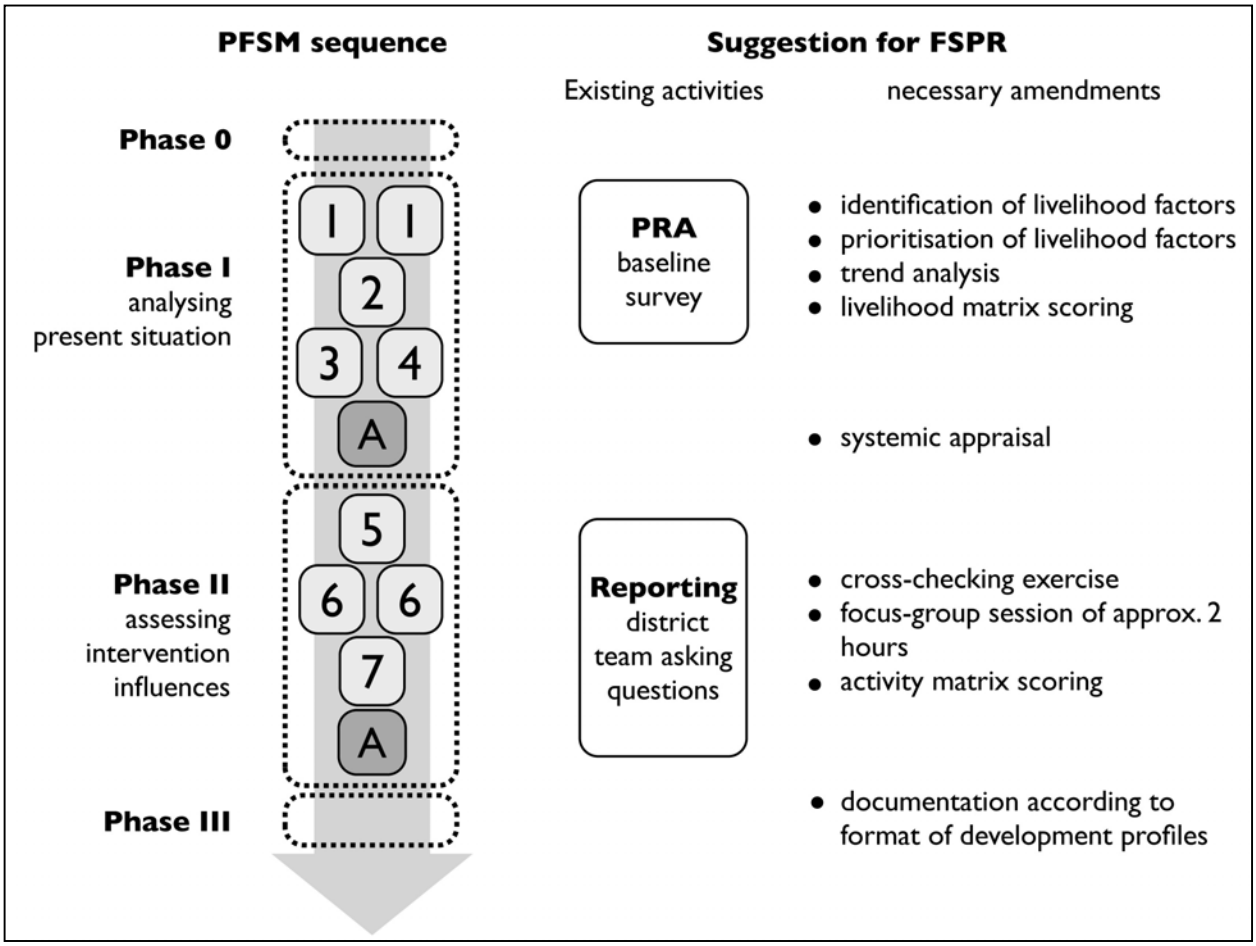
The use of the short and comprehensive format of Development Profiles has several advantages:

- The short summaries of results can easily by understood and fed into decision making at the level of project management
- The introduction of Development Profiles as a tool for the communal planning process could be a useful amendment of decentralised planning
- If applied on a broad basis, the provincial level could use the Development Profiles or the aggregation sheets respectively to harmonise donor activities in the province

#### 4.3.1.1 Suggestions for Application for FSPR

The methodological approach of PFSM can easily be adopted by FSPR with only limited adjustments to the existing tools of FSPR's management and M&E. The following figure displays selected existing tools of FSPR management and suggestions for amending these tools to achieve the PFSM objectives. It has to be noted that the villages visited by the PFSM team were drawn from two different project phases of FSPR and, therefore, the tools suggested are not 100% in compliance with the presently undergoing "Extension Phase". For more realistic and directly applicable recommendations, the present M&E system would have to be discussed in more detail and potentials for adjustment thoroughly investigated.

**Figure 23: Suggestions for Amendment of M&E of FSPR (Source: PFSM 2005)**




FSPR (and more intensively the pilot stage SPFS) start their village activities with a broad and open PRA exercise to gain baseline information about the villages, important events in the past, the poverty situation with wealth ranking, problems encountered, etc. This exercise has been cut down significantly for the extension phase (FSPR). Nevertheless, wealth ranking and drawing up a seasonal calendar are initial steps undertaken in each village with active involvement of the village population.

The PFSM suggestions for the upgrading of the FSPR M&E process are based on two steps which already exist: the PRA baseline survey and the reporting exercise of the district team.

Phase I of the PFSM methodology can easily be integrated into the PRA (Participatory Rural Appraisal) survey at the beginning of FSPR interventions in each village. The amendment of the programme would include adding the identification and prioritisation of livelihood factors, the trend analysis for each livelihood factor and the livelihood matrix scoring to the PRA exercise. This could be done with only limited additional amount of time.

The incorporation of Phase II of the PFSM methodology into FSPR's M&E system would need some more amendments. A short focus group exercise would have to be added to the present reporting exercise by the district team. It could be undertaken yearly or every other year for the period FSPR is operating in the respective village.

The focus group exercise would need some additional resources, as facilitation needs additional manpower and knowledge. Nevertheless, FSPR could draw on existing technical advisers and consultants already engaged in the implementation of the project.

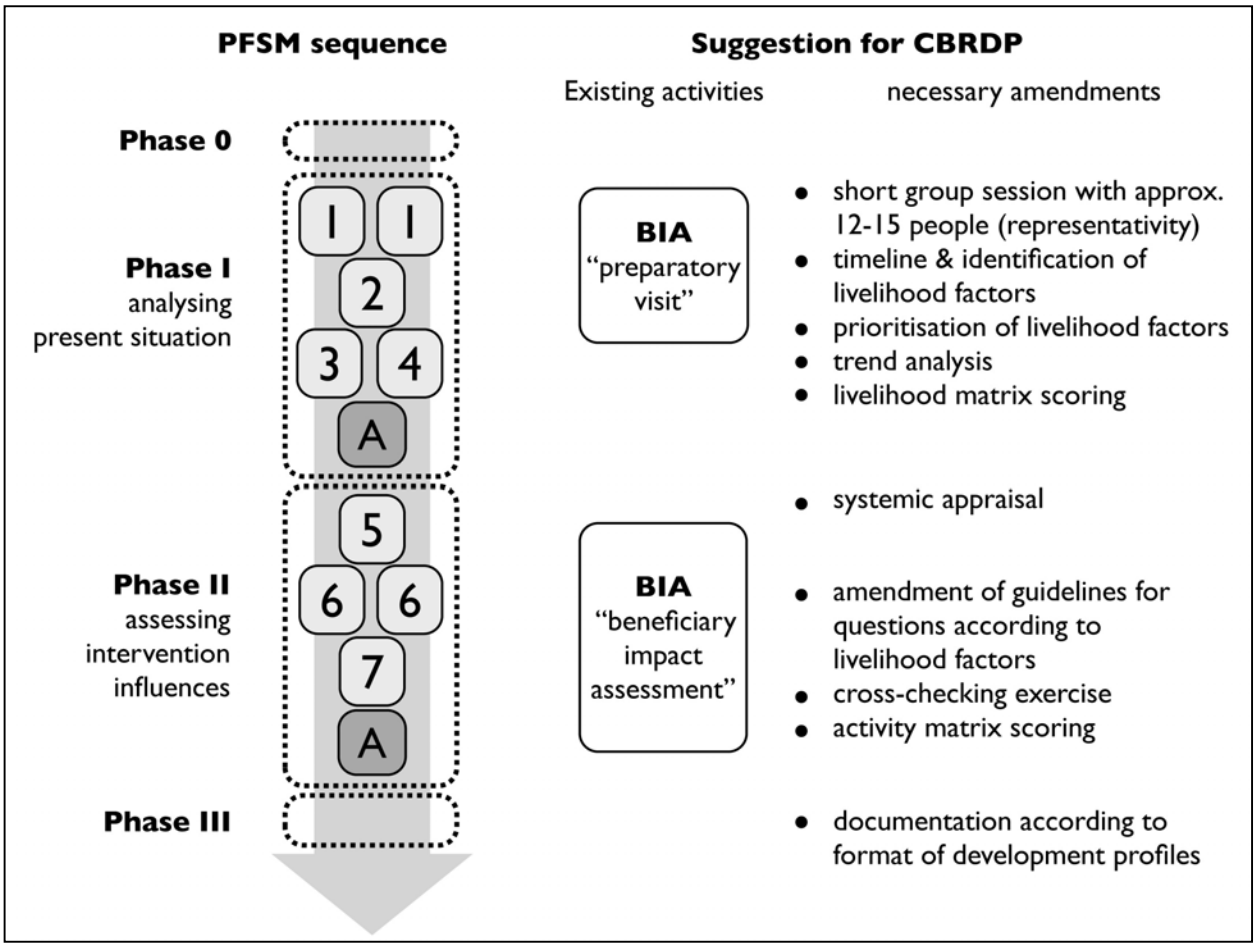
The most important step to be added (within this focus group exercise) would be the activity matrix scoring with a mixed group set-up of beneficiaries and non-beneficiaries of the interventions. The activity would need an additional time of approximately three to four hours per village.

After the data collection the documentation formats could also be changed to the Development Profile format to enable automatic aggregation and allow comparing the results among different FSPR villages.

#### 4.3.1.2 Suggestions for Application for CBRDP

This Subchapter suggests the amendment of the CBRDP M&E system in order to strengthen results-orientation of the projects M&E on outcome and impact level. The following figure displays the PFSM methodological sequence as described above, selected activities of the M&E process of CBRDP and suggested amendments necessary to upgrade the existing activities to provide additional results-oriented M&E information.

**Figure 24: Suggestions for Amendment of M&E System of CBRDP (Source: PFSM 2005)**




The beneficiary impact assessment (BIA) is a part of the M&E system of CBRDP that has been applied on a yearly basis since 2003. It is carried out by a team of M&E staff together with external consultants in one village for each district in both provinces where CBRDP is active. The methodological approach is based on parallel focus group discussions and interviews. The results from each village are collected, analysed, presented and discussed in a workshop in each province. The aggregated results are integrated into a report presenting the results along with examples from specific villages and recommendation for project management. The PFSM suggestion is based on the BIA approach and proposes to enhance the BIA steps and results with information on outcome and impact level of CBRDP.

In conformity with the systemic approach of PFSM it is suggested that the preparatory visit prior to the traditional BIA be slightly extended and that the BIA exercise itself also be slightly amended. The preparatory visit is presently used to

clarify administrative and organisational issues only, such as timing, necessary preparations, objective of the exercise and necessary groups to be set up by village representatives.

The PFSM team suggests that this preparatory visit would be extended to a half-day group meeting with 12-15 people who represent a representative cross section of the village population. The composition of this group should conform to the PFSM criteria for setting-up of groups (see Chapter 3.3.2). The preparatory team would then undertake the steps of Phase I as described above. The results of the systemic appraisal would then be fed into the formulation of the questionnaire guidelines for the actual BIA.

During the BIA, two steps – the activity matrix scoring and a crosschecking exercise would be added (see Figure 24). This will help gain quantitative information necessary for the establishment of the Development Profile and verify information collected at village level.

The BIA documentation format could be changed to the PFSM format, using the automatic feature of aggregation of the Development Profile – spreadsheet (see Chapter 5.1).

Provincial workshops and aggregation of qualitative information could remain unchanged, reporting and recommendations could be made using the Development Profile formats. This would save time and resources which are presently spent on analysing BIA data and preparing written reports.

Necessary additional resources for the amended BIA would be approximately three hours per village.

#### 4.3.1.3 Adaptation for Other Contexts

The PFSM methodology is adaptable for other cases and project contexts and flexible in the application of its sequence. Two examples of how the sequence could be changed and for the stages of project implementation in which the methodology can be applied are given above. For a more general recommendation for others intending to adopt the PFSM methodology for other cases, the following aspects should be taken into consideration:

- The nature of the systemic approach of PFSM is closely related to a people-centred approach in applying the methodology. A high degree of participation and an open atmosphere are the necessary basis to achieve reliable information about the livelihood system.
- In other cases (e.g., a special focus on aspects such as gender, HIV/AIDS, etc.) the exercises of, e.g., collecting livelihood factors can be guided by the facilitators (e.g., asking ”Is livelihood factor XY (HIV/AIDS, gender, etc.) important for the people?”). Nevertheless, it must be assured that the final decision about which livelihood factors are the most important ones is left with the people. The prioritisation exercise should therefore remain with the target group and must not be sidelined by predetermining livelihood factors.
- The methodology can also be used at specific points in time to test (or estimate) impacts of national decisions on rural livelihoods. For example, in the course of the NSDP or other national poverty eradication plans critical decisions can be tested at the local level by applying PFSM methodology.
- The number of livelihood factors, interventions to be assessed, people present at the group discussions, years to be covered by trend analysis, etc. are flexible. The numbers described in Chapter 4.2 are suggestions that have been tested in the field and proved to work in rural Cambodia. However, the number of eight livelihood factors seems to be the maximum number possible because the livelihood matrix scoring is already quite challenging for the participants. Also the number of nine years taken into consideration for timeline and trend analysis in the PFSM study is close to the maximum possible. The decision about the number of years should always be derived from crucial events in the past which people do still remember (e.g., in the case of PFSM the political uprising in Phnom Penh 1997 was seen as a crucial event which people still had in mind).
- The rural population involved in the assessment at village level does not directly gain anything from the M&E exercise, nor is it directly related to their well being. Therefore, a suitable feedback process of the results gained through the exercise should be taken into consideration. In the case of PFSM and with regard to the decentralisation process in Cambodia, the feedback mechanism involved translating the Development Profiles into Khmer, channelling it back through the project staff to the communes and to the villages.

- The involvement of the communes is a crucial factor because the local planning procedures are presently based at the communal level. The PFSM approach and the documentation format of Development Profiles could be used by the commune councils for prioritisation of their plans and for the communication of the locally identified needs. The Development Profiles could therefore be introduced into the commune councils' planning process as a planning tool and at the same time be used for M&E of the implementation of a commune's investment plan (see Chapter 6.4).
- The last suggestion addresses the question of when to apply the PFSM methodology in the course of a project/programme cycle. The last two Chapters came up with some first suggestions. The only rule is that Phase I is always applied prior to Phase II with at least half a day break in between. It is not advisable to directly connect the two Phases because the analytic step "systemic appraisal" needs some time and the focus of both Phases is very different. Phase I could instead also be applied at a very early stage of project implementation to provide reliable baseline information. The PFSM methodology can be used as frequently as desired: annually or at a specific point in time or when the need arises. In contrast to other methods, the PFSM methodology can even be used before actual impacts of activities have surfaced. In this case it can help assess how the activity will most likely influence the livelihood system and therefore stimulate positive changes to a given poverty and food security situation.

The most important fact to be taken into consideration whenever applying the PFSM methodology is that the results of PFSM are by no means exact quantitative data. They always remain qualitative estimations of how certain activities influence the complex livelihoods (and their interrelation) of the rural population. Therefore PFSM cannot supersede quantitative tools and methods of M&E in project management. Instead, it has to be seen as a complementary tool to amplify the quantitative hard facts which usually provide better results up until the level of programme/project outputs or use of outputs.

Any assessments above these levels are bound to be uncertain and fuzzy. It is this peculiarity of complex systems that the PFSM methodology strives to overcome.

# 5 Results and Information Generated by the PFSM Methodology

Chapter four has presented the specific phases and steps of the methodological sequence developed by the PFSM team. The methodology and the various tools to gather information from the target group as well as the ways to analyse and aggregate this information were described in detail.

This Chapter will look in greater depth at the kind of results and information that are generated by this methodology and the value for project/programme management. However, the focus will not be on general or representative conclusions concerning the commissioners programme/project performance, activities and results. As the study concentrated on the development of a methodology which was tested in only four villages per programme/project, the study team is not in a position to draw such conclusions or give recommendations on programme/project activities. Therefore, Chapter five will concentrate on the **nature** of results and information that is produced by the PFSM methodology, and explain how to read and use these results. This will be done in two Subchapters.

The first Subchapter focuses on results that are specific for the PFSM methodology: the “Development Profile”, the “web of livelihood factors” and the “portfolio analysis” that have already been introduced in Chapter four. They will be discussed on the example of one village in which both programmes/projects have conducted activities. As the village is just used as an example for better explanation, its name will remain anonymous.

The second Subchapter refers to the results chain approach that was introduced in Chapter 2.2.1. The results chains of the commissioners’ agriculture related programme/project activities are presented, and it is explained how these results chains, combined with information gathered by the PFSM methodology, can be used to review and monitor the programme/project planning logic.

## 5.1 Results of the PFSM Methodology: Development Profile, Web of Livelihood Factors and Portfolio Analysis

The Development Profile, the web of livelihood factors and the portfolio analysis of project/programme activities are the three specific “products” of the PFSM methodology.

### 5.1.1 The Development Profile

The Development Profiles (Figure 25)[14] of each surveyed village are the key sources of data and information because they are a record of all the information that was provided by the target group during the survey.

**Figure 25: Anonymised Example of a Village's Development Profile (Source: PFSM 2005)**

See attachement at the inner back side of the study.

[14] Please note that this study contains only one exemplary Development Profile out of the eight that have been compiled during the field survey. All Development Profiles are downloadable at www.berlinerseminar.de

The Development Profile is divided into two major sections. The village situation at the time of the PFSM survey is described in the first section of the Development Profile. This section consists of the first five columns: Number (abbreviated as No.), Livelihood Factor, Trend, Average (abbreviated as Avg.) and Remarks.

In column two ("Livelihood Factor") those livelihood factors which were identified by the villagers as being currently the eight most important determinants of the poverty and food security situation in their villages are listed. This information was gathered during the timeline and livelihood factor identification and prioritisation exercises (Phase I, steps 1 and 2 of the methodology). In addition, the crucial livelihood factors are marked with bold letters. They were identified during the first analytical sequence in Phase I of the methodological cycle (see Chapter 4.2.2, Figure 14).

Column three "Trend" displays the general development of each livelihood factor over the past nine years in terms of a trend from very bad to very good. The relevant data was collected during the trend analysis exercise (Phase I, step 3 of the methodology) and processed during the first analytical step of the methodology. During this step the numbers recorded in column four "Avg.", i.e., the average situation (on a scale from 0=very bad to 5=very good) of each livelihood factor, were also calculated.

To fully understand the course of a trend (was it stable, continuously increasing/decreasing or fluctuating) the information in column five "Remarks" is important because it adds additional explanatory comments. These remarks were collected during the timeline, trend analysis and livelihood matrix scoring exercises (Phase I, steps 1,3 and 4 of the methodology).

The second major section of the Development Profile contains information regarding six activities that were implemented in the village and their influence on the relevant livelihood factors. This information is based on the villagers' own perceptions voiced during survey discussions and, in particular, during the activity influence matrix scoring exercise (Phase II, step 6). Five columns are assigned to each activity. The first one "Influence" shows the influence of the activity on each of the eight identified livelihood factors, on a scale ranging from 0=none to 1=medium and 2=strong influence.

The second column “Level” shows the trend level of the specific livelihood factor for the year in which the activity began/was implemented. The information is derived from the trend analysis sheet and is needed to create the portfolio analysis (see Chapters 4.2.4 and 5.1.3).

Column three “AvAc” shows the level of each livelihood factor as an average for the years from the beginning of each activity up to the present. These values are also needed to create the portfolio analysis. They were calculated during the second analytical step. The information is derived from the trend analysis (Phase I, Step 3 of the methodology).

Column four “Remarks” contains remarks made by the villagers themselves concerning the quality and kind of influence the activity had on a specific livelihood factor. Column five “Conclusions” records conclusions made by the survey teams derived from the information in columns one and four. The information contained in columns four and five, as well as in the top box called “notes” and the box at the bottom named “other influences” is important for the interpretation of the portfolio analysis (see Chapter 5.1.3). It is also needed when using results chains to monitor/review the logic of project planning (see Chapter 5.2.2).

Finally, entries in the two boxes at the very bottom of the Development Profile complete the information about project activities. These boxes refer to the participants in the discussions. They show the number of beneficiaries among them and the number of those persons, who had only heard about it or were interested in the activity.

The combined information gathered in the two main sections of the Development Profiles can serve as the basis for a qualitative results (output, outcome and impact)-oriented project M&E. It is especially useful for this purpose because this kind of information can be aggregated from village level to higher levels like, e.g., districts, provinces or agro-ecological zones and easily be displayed in the activity portfolio analysis (see Chapters 4.2.4 and 5.1.3).

The first major section of the Development Profiles which names the most influential livelihood factors can also be used for local or communal planning because the listed factors describe the most important determinants of the present poverty and food security situation in the village. Any village or communal planning should therefore consider these factors and concentrate planned activities especially on those ones which show a bad trend and/or, maybe even more important,

on those ones that were identified as crucial, because they are most influential within the whole system. The web of livelihood factors can be consulted to assist this process because it gives a picture of how the eight most important livelihood factors influence each other.

Programmes or projects can use the information of the first section of the Development Profile for planning or re-planning purposes. It is only necessary to aggregate the information from a representative number of villages in the intended target area, respectively in the already existing project/programme region following the method described in Chapter 4.2.

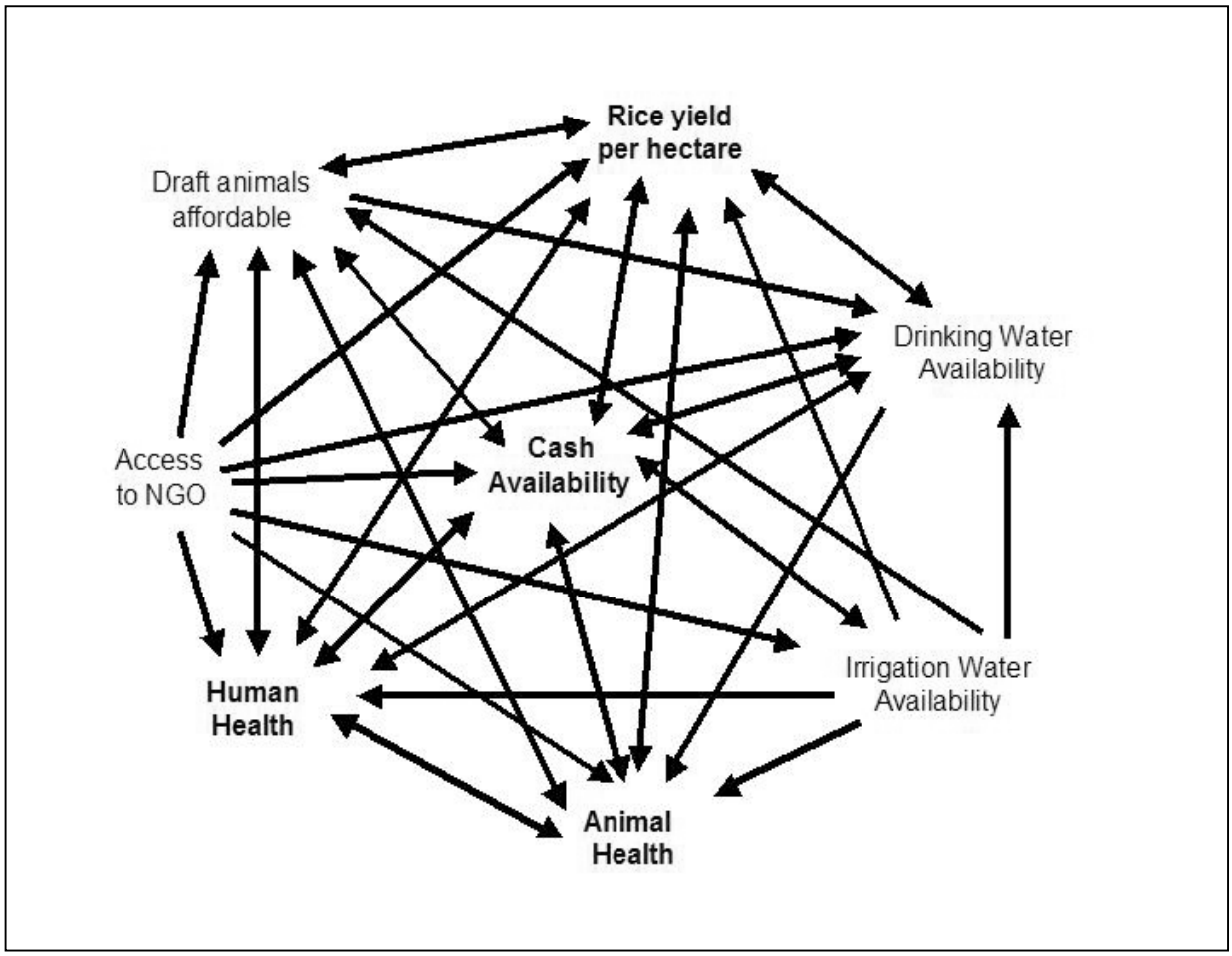
### 5.1.2 The Web of Livelihood Factors

In applying the systemic approach of the PFSM methodology a set of eight livelihood factors that define the poverty and food security situation from the villagers' perception is identified for each village. These factors do not usually have only immediate/direct influence on the situation. Often, they also have positive and/or negative influence on each other. In order to look at this aspect more closely, the PFSM methodology includes the livelihood matrix scoring exercise (Phase I, Step 4 of the methodology). With this tool not only the various influences can be identified, but also those livelihood factors which are easiest to be influenced actively and at the same time are highly influential on others as well (= crucial livelihood factors; see Chapter 4.2.2).

Thus, information gathered with the livelihood matrix scoring exercise is displayed graphically in a so called Web of Livelihood Factors. This is drawn up during the first analytical sequence in Phase I. Figure 26 shows the eight key-livelihood factors that were identified in the example village (see Figure 25) and their mutual influences as reported by the villagers[15]. The four crucial livelihood factors are marked in bold letters.

[15] In general, bold arrows in the web represent strong influence and light arrows small influence. In case of the example village only strong influence occurs. Therefore, this web does not contain light arrows.

**Figure 26: Web of Livelihood Factors Based on the Unnamed Sample Village (Source: PFSM 2005)**




Apart from obvious and direct influences, e.g., rice yield on cash availability, the villagers also identified indirect ones. For example, the influence of affordability of draft animals on drinking water availability is not apparent at first sight, because it is an indirect one. Villagers told the survey team during the livelihood matrix scoring exercise that draft animal affordability has a positive effect on rice yields, which in turn leads to higher cash availability. Part of this income was invested by the villagers in the maintenance of drinking water sources[16].

[16] This kind of information was filled into the livelihood matrix directly during the livelihood matrix scoring exercise. Decision makers should consult these sheets if some relations in the web of livelihood factors do not seem plausible at first glance.

As already mentioned in the previous Subchapter, the web of livelihood factors in combination with the first section of the Development Profile of a village can provide valuable information for local or communal planning. As the web can also be created for aggregated levels (see Chapter 4.2.4), e.g., agro-ecological zones, administrative regions etc., they can also be used in programme/project (re-) planning. In this process the identification of self-supporting cycles should be of major interest for decision makers. In the case of the example village, e.g., an activity that can improve animal health will lead to better cash availability. This will lead to improvement of human health through villagers' investment in health services and medicine. In turn, this has positive effects on animal health because only healthy people can take optimum care of their animals.

### 5.1.3 The Portfolio Analysis of Project/Programme Activities

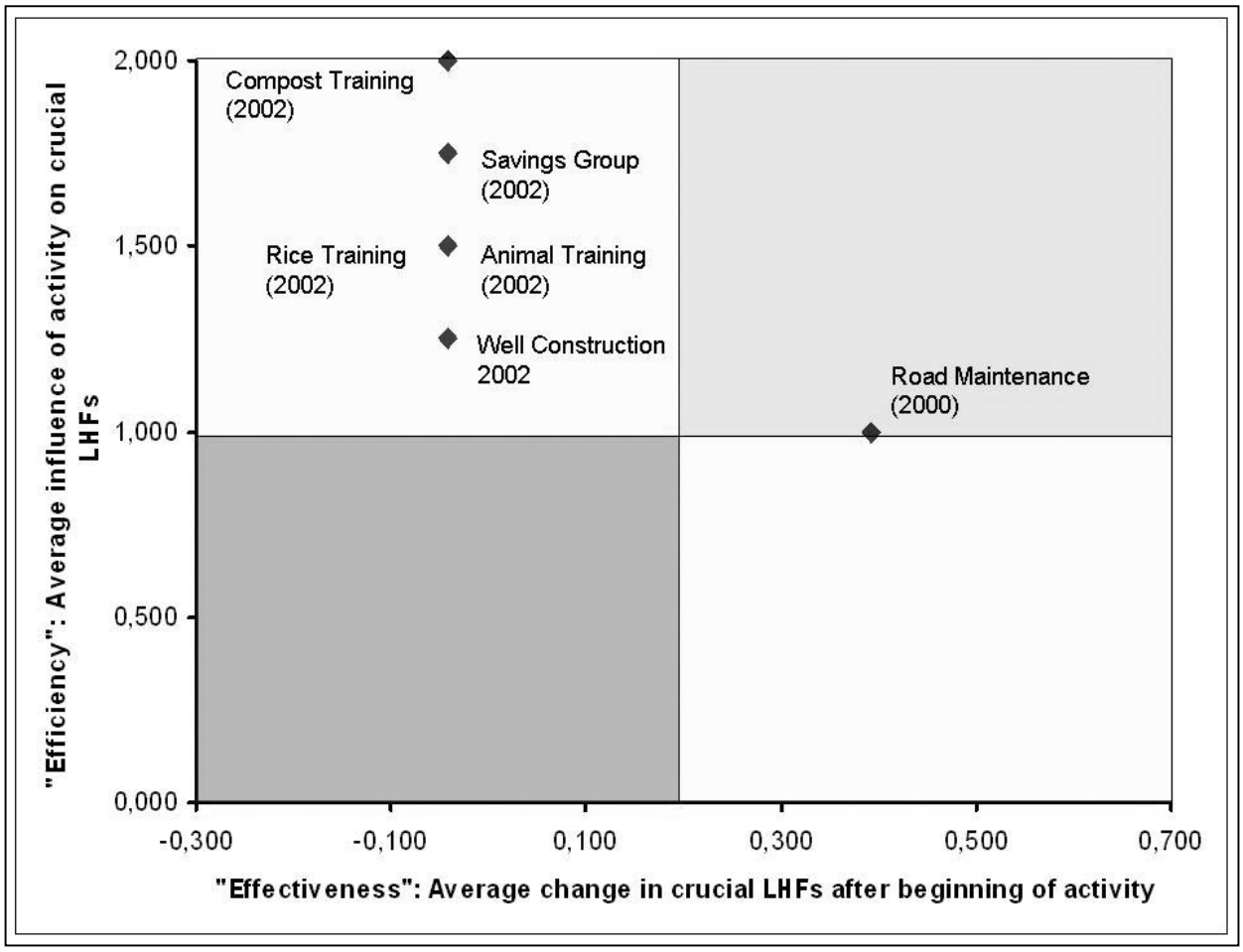
The last PFSM specific "product" to be discussed is the so called Portfolio Analysis of project/programme activities. It displays the relative **efficiency** (=average influence on the system of crucial livelihood factors) and the relative **effectiveness** (=average change of the system of crucial livelihood factors after the implementation) of a project activity in comparison to other project activities, as shown in Figure 27.

The Portfolio Analysis provides programme/project management staff a quick overview of the relative performance (regarding efficiency and effectiveness) of all surveyed activities since their implementation. This information makes the Portfolio Analysis a valuable tool for results-oriented project monitoring.

Activities situated in the top right field have a comparably high influence (efficiency) and effect on the system of crucial livelihood factors that determine the poverty and food security situation. For these reasons these activities should be continued.

Activities situated in the area at the bottom left show comparably low efficiency and effect. Therefore, the reasons for their weak performance should be analysed by the project staff as soon as possible. This can be done by consulting the development profiles because they contain the necessary remarks to explain the situation.

**Figure 27: Portfolio Analysis of Activities Surveyed in Unnamed Sample Village (Source: PFSM 2005)**




In the example shown in Figure 27 no activity is located in the bottom left field. What is striking in this portfolio is that the activities situated in the top left area (compost training, savings group, rice training, animal training and well construction) show a comparably high influence on the livelihood situation but nevertheless seem to have had no effect concerning the improvement of the situation since their implementation. In this case the consultation of the Development Profile is also recommended. Here it becomes clear that in case of the example village the dramatic effects of the drought in 2004 have caused a general downwards trend of the livelihood situation that could not be offset by these activities despite their high influence.

It has to be mentioned that the portfolio shown in Figure 27 only serves as an example because it is based on the data of a single village only. Such a “single-village portfolio”, of course has only limited expressive quality with respect to a whole project/programme. However, project management is usually interested in

the project-wide performance of activities. To meet this demand aggregation of data from a representative number of villages is necessary (see Chapter 4.2.4).

## 5.2 Reviewing the Planning Logic by Using Results Chains and PFSM Data

Chapter 2.2.1.1 has already mentioned that a repeated review of the programme/project planning logic is an essential element of results-oriented project management. Results chains represent a good picture of the planning logic and can therefore be used as an appropriate instrument for periodic monitoring/reviewing. By using PFSM-data from the Development Profiles one can check in a randomised manner if the assumed results depicted in the results chain are actually taking place in reality.

In the context of this study the main task was to identify the agriculture related results chains[17] of both commissioners' projects and to show how to review them on an exemplary basis.

### 5.2.1 The Agriculture Related Results Chains of FSPR and CBRDP

The results chains of both commissioners are based on their logframes and/or other relevant project/programme documents. The two chains were drawn up in an iterative process which continuously involved project/programme representatives who are responsible for planning, implementation and monitoring their project.

The fact that the two results chains represent the projects'/programmes' understanding of their own conceptual planning is vividly reflected in the differentiation of the various levels of the results chains. In theory, the results chain consists of five (see WFP 2003:14) respectively six (see GTZ 2004:9) clearly defined hierarchical levels, i.e., input, activity, output, outcome (use of output and direct benefit) and impact (see chapter 2.2.1).

[17] For the two commissioners' particular interest in the identification of agriculture related results chains, see Chapter 3.3

Projects in reality are much more complex than in theory. This is why within each of the two projects'/programmes' results chains certain levels have sometimes been split up into sub-levels following suggestions made by project staff. On the other hand sometimes two or more single elements could be summarised under one general topic. In the illustrations (see Figure 28 and Figure 29) they are grouped within grey areas marked by dotted lines.

Please also note that for two reasons both of the following illustrations of the results chains do not include the two lowest levels (input and activity) of the system:

- The PFSM-study is supposed to concentrate on the development of a monitoring methodology at results level (output, outcome and impact)
- Input and activities are subject of the already existing (input and activity based) project M&E systems and have already been described in Chapter 3.2.

#### 5.2.1.1 FSPR's Agriculture Related Results Chain

The overall goal why the FSPR project was launched is to contribute to increasing human security, i.e., reducing vulnerability and poverty in Cambodia. This goal is mentioned at the highest impact level of the results chain. To achieve this overall goal FSPR is providing five outputs which go far beyond directly addressing agricultural techniques. Some of the outputs strongly focus on getting farmers socially organised and on initiating and strengthening local planning and small investment activities through the Village Advisory Committees (VACs). In addition, the project provides training for provincial and district government staff in order to enhance their skills and performance. Provided that the target groups make use of the combination of outputs, six more or less interlinked direct benefits should be achieved according to the project logic. Subsequently, these direct benefits are assumed to have positive effects on food security, malnutrition, vulnerability and self reliance, each of them representing an aspect of the overall project goal: to increase human security and reduce poverty.

**Figure 28: FSPR's Agriculture-Related Results Chain (Source: PFSM 2005)**

See next page.

#### 5.2.1.2 CBRDP's Agriculture Related Results Chain

The overall development goal of the CBRDP on the highest impact level of the results chain is similar to FSPR: "Poverty reduced, i.e. livelihoods improved." Like FSPR, the CBRDP supports (in cooperation with the public extension services of RGC) one output that is directly working on improving farming techniques. Another output of the CBRDP is the placement of functioning private service providers in the agricultural sector which, in addition to already existing public services, should broaden the services available to farmers. A link between private and public service providers is the output "vaccination campaign" because it is a joint effort of both sectors.

Rural roads as well as institutional structures for their maintenance are additional important outputs of the CBRDP. Concerning agriculture, roads should provide better market access for farmers and also improve the availability of external inputs for agricultural production and techniques, e.g. seeds and fertilizer. The outputs "delivery of technical and community development support services", and the "establishment and training of Local Technical Committees (LTCs)" are intended to promote the construction/rehabilitation and maintenance of the rural road network. Together, like in FSPR, all the mentioned outputs are assumed to lead to a diversified farming system with intensified production as a direct benefit which will contribute to the overall goal of poverty reduction.

A small add-on to the CBRDP agriculture related results chain are the two boxes connected by the dotted arrows ("farmers are aware of nutritional needs" and "farmers sell labour/other income sources"). They were added on recommendation of CBRDP staff. The boxes represent examples of external factors/other interventions, assumptions and/or risks that can have influence (necessary, multiplying, hindering etc.) on intended changes formulated in the results chain.

**Figure 29: CBRDP's Agriculture Related Results Chain (Source: PFSM 2005)**

See previous page.

### 5.2.2 Review of the Results Chains with PFSM Data

A common way to review the planning logic of a project/programme is to use its results chains and assign relevant indicators for every parameter of the chain. These indicators are then used to measure whether or not the assumed changes have occurred. In the event that expected changes have occurred (to a certain, defined extent) the logic and the activities respectively are then considered to be adequate. This procedure is relatively limited because it contains all the disadvantages that are associated with indicators (see Chapter 2.2.1.3).

The systemic monitoring approach applied in the PFSM methodology is based on livelihood factors rather than quantifyable indicators. Nevertheless, it is possible to review results chains with the data that are obtained during the application of the methodology. The information required for each activity is listed in the Development Profiles in the column “Remarks” (see Chapter 5.1.1) for each activity that was analysed during the survey. The information from these remarks can be transferred to the results chain as shown in Figure 30 and Figure 31.

The boxes with the bold red outlines contain parameters that can be related to statements/remarks made by farmers during the group discussions. The box with the dotted red line in the FSPR results chain indicates an unintended positive result that was not foreseen: Farmers told that due to their increased farm income their credit-worthiness had increased. In consequence the access to credit had also increased.

**Figure 30: Parameters of FSPR's Agriculture-Related Results Chain That Are Addressed by FSPR's Rice Training (Example: Check Village, Source: PFSM 2005)**

**Figure 31: Parameters of CBRDP's Agriculture Related Results Chain That Are Addressed by CBRDP's VLA Training (Example: Angkor Chey Ti Muoy, Source: PFSM 2005)**

See next two pages.

As mentioned, each of the two figures only shows the findings of one village with respect to a single activity. For a thorough review of the planning logic the remarks on each activity have to be screened per village in the described manner. This could be done during the analytical sequence during Phase II of the methodology in which the Development Profiles are completed. A precondition to draw general conclusions about the plausibility of a results chain is of course a more representative sample of villages, which was not given in the context of this study.

## 5.3 Conclusions and Recommendations Regarding the Applicability of the PFSM Methodology in Project/Programme M&E

The data that were collected in the test-villages using the PFSM methodology show that they can provide information that will contribute to project/programme management by:

- Identifying key livelihood factors that determine the poverty and food security situation of the target group and assess how they influence each other as a dynamic system
- Identifying those factors in this system that allow most effective and efficient use of inputs and implementation of activities (= crucial livelihood factors)
- Identifying the impact (on a relative scale: none-medium-strong) of specific activities on this system of livelihood factors
- Enabling differentiation between more or less successful (in the sense of effectively and efficiently achieving outcome and/or impact) project/programme activities regarding poverty reduction and food security (including background information on the respective reasons)
- Enabling a review of the project/programme planning logic as represented in results chains

Assuming that the collected village level data are based on a representative sample, they can easily be aggregated to levels of administrative units, (agro-) ecological regions or to any project/programme relevant levels.

Therefore, the PFSM methodology could be used for:

- Planning of projects/programmes in the field of poverty reduction and food security
- Periodic qualitative monitoring of projects/programmes outcomes and impacts in the field of poverty reduction and food security as reflected by livelihood factors
- Qualitative evaluation of projects/programmes outcomes and impacts in the sector of poverty reduction and food security

However, it has to be mentioned that the PFSM methodology is a completely qualitative approach. Therefore, it should be used complementary to quantitative methods which are already being applied by the two cases projects/programmes FSPR and CBRDP.

It also has to be pointed out that the PFSM methodology is not designed for:

- Input and activity M&E
- The direct assessment of negative project/programme impacts

As far as the latter is concerned, the PFSM methodology would only require a minor adjustment of the tools to meet this demand, too.

Because the methodology can identify:

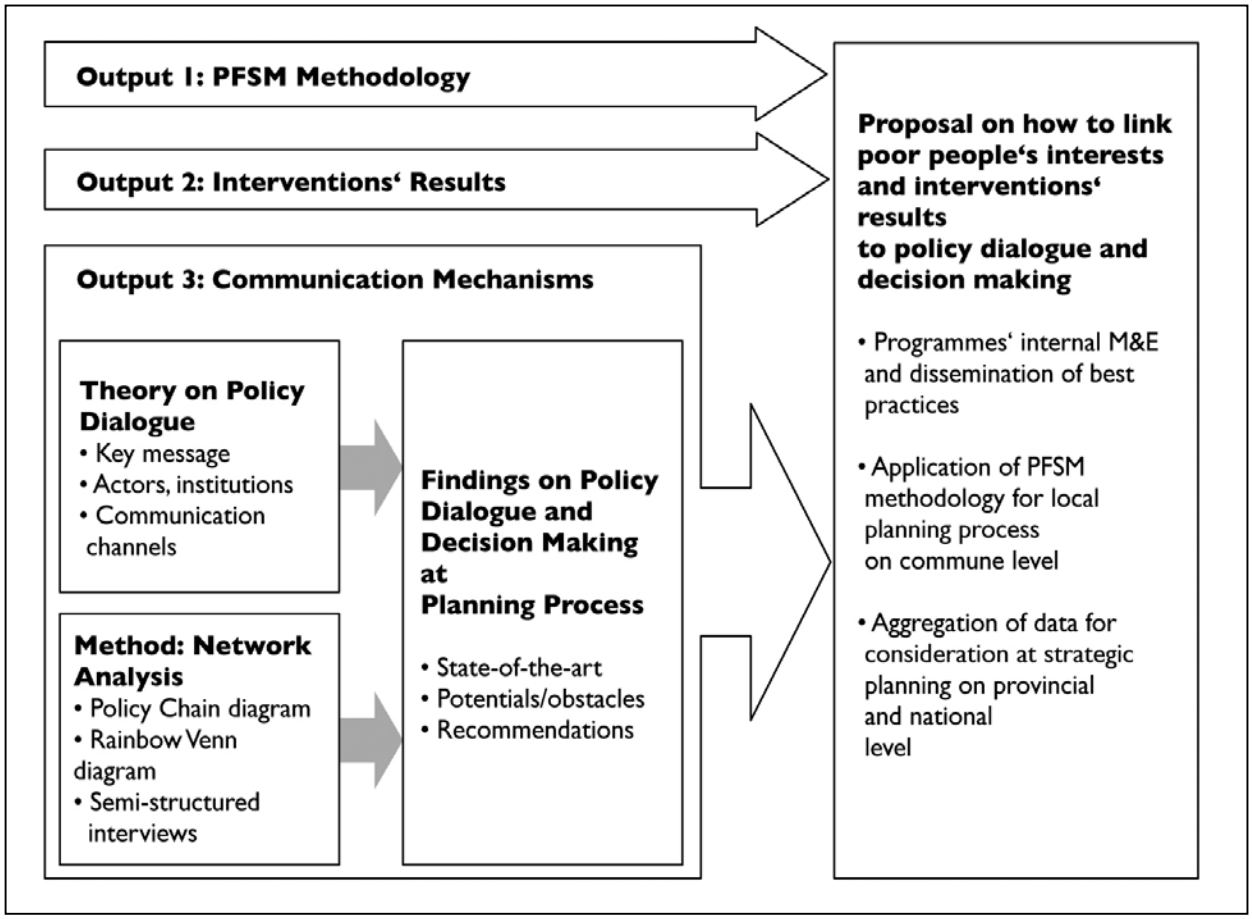
- The system of key livelihood factors that determine the poverty and food security situation as perceived by the target group
- Those project/programme activities that have a positive outcome and impact on this system of key livelihood factors

it can be applied to gather information which can be used for project/programme planning and be fed into the policy dialogue and decision making process as a qualitative description of the current situation from the perspective of the poor.

# 6 Communication Mechanisms for Policy Dialogue and Decision Making in Cambodia (CPDDM)

This Chapter examines actual and possible means of communication to utilise the monitoring and evaluation findings of this study. By concentrating on communication channels between village, commune, district, provincial and national levels, answers are sought to questions of how does the decentralised decision making process currently being put in place in Cambodia actually empower people at all of the above mentioned levels to articulate their interests. How does the PFSM study fit into this overall framework of interest articulation? In particular, what steps are necessary to articulate the interests of the poor that this study has methodically collected and documented on the local village level? Based on the assumptions, that once local interests have been articulated, communicated into the proper channels and actually taken into account during the process of decision making on issues of development, financial benefits and actions that might follow reflect poor people's interest in a more appropriate way. Thus, this Chapter aims to elaborate an appropriate Communication Mechanism for Policy Dialogue and Decision Making (CPDDM) to transfer both poor people's interests and findings on the results of interventions as outlined in Figure 32.

**Figure 32: Transfer of Results (Source: PFSM 2005)**




A theoretical framework on communication and the CPDDM to be developed was introduced in Subchapter 2.3. After briefly remarking on the importance of communication for poverty reduction and food security (Subchapter 6.1), Subchapter 6.2 provides a short overview on network analysis as a method to identify relevant actors and communication channels. Subchapter 6.3 presents the state-of-the-art of policy dialogue and decision making using the example of Cambodia's planning process within its recently decentralised organisational system. Relevant actors and their functional relationships are discussed in order to conclude on potentials and obstacles of the policy dialogue.

Based on these findings, recommendations concerning horizontal and vertical policy dialogue in the planning context are given. Finally, Subchapter 6.4 intertwines the three PFSM outputs. Taking into consideration the findings of the previous Subchapter and feeding in the results of output 1 and 2, a proposal is elaborated on how to link poor people's interests and interventions' results to policies. Projects' internal M&E system and dissemination of best practices, ap-

plication of the PFSM methodology for the local planning process as well as aggregation of data to be considered for decision making at provincial and/or national level are presented in this context. The Chapter concludes with a brief remark about using the CPDDM for issues besides those mentioned before.

## 6.1 Why Communication Matters for Poverty Reduction and Food Security

Donors consider poverty reduction and food security as two of the key components for development. This is reflected in the agreement on the *MDG* 1: Halving extreme poverty and hunger until 2015. In this context major donor organisations supported huge development programmes to overcome poverty. Still, the situation of the poor, especially in rural areas, remains alarming given the fact that 75% of the population worldwide has less than one dollar a day for consumption, and work and live in rural areas (IFAD 2001:15).

The following obstacles are discussed as major causes as to why development efforts are not having enough impact, especially in rural areas (FAO and SADC 2004:7–10):

- Lack of beneficiaries' participation in the planning and programme formulation
  Beneficiaries often do not adequately participate in the assessments of their interests and in identifying their problems. They are regarded as recipients rather than active stakeholders. Solutions identified and fed into programme formulation therefore too often do not coincide with poor people's interests. This, in turn, leads to a sub-optimal allocation of resources.
- Perception of low power on the part of beneficiaries

  Rural people, in particular, perceive policy decisions as something that is made almost entirely by outsiders without any opportunity for them to influence the process. Indeed, government strategies and priorities tend to follow donors' requirements rather than (expressed or not expressed) interests of the addressed beneficiaries. Additionally, government officials themselves have their own particular interests. Potential beneficiaries might also face limits to actually acquiring resources which have been allocated to them. This might be due to deficits of institutional arrangements, a still weak civil society and/or a beneficiary's own limited capacity and voice.

- Inappropriate methods
  Methods used during assessments in rural areas are frequently not appropriate to villagers' level of knowledge and articulation skills. Because poor people tend to have a low level of literacy and formal education some of the tools applied in the field may be too complicated. Thus, information transferred upwards along vertical administrative structures may be incomplete and/or distorted.

- Low promotion of communication as a means to enforce development
  The importance of communication as a means to promote development has not yet been recognised by policy and decision makers in state structures and donor agencies. The two-way direction of communication is often overlooked: Government officials and development advisors often focus on directives given by national ministries from the top down in the administrative structure but often fail to take into account communication of villagers' interests coming from the bottom up.

In summary, policy dialogue is confronted with strong limits both during the planning procedure as well as in the implementation phase. Donors have become aware of this fact and have started to focus on the field of communication to overcome these obstacles. FAO HQ, for example, has set up a Communication for Development Group[18] that focuses on human development as a means of "enlarging the capabilities, choices and opportunities of people, especially the rural and the poor to gain access to and control over factors that affect the basic needs essential to their lives" (FAO and SADC 2004: 6). This approach assumes that poverty not only results from a lack of resource but from misallocation as well. Therefore, empowerment of beneficiaries and enabling them to participate in the planning and allocation process through communication is seen as a fruitful strategy to contribute to poverty reduction and food security.

[18] See www.fao.org/sd/kn1_en.htm or www.fao.org/sd/knpub_en.htm for publications.

## 6.2 Methodological Aspects for Developing a Communication Mechanism for Policy Dialogue and Decision Making

The methods chosen to assess relevant actors, key messages and communication channels ensure that all administrative levels were addressed and the opinions of villagers, including poor people, was considered.

On the national level they were applied in Phnom Penh and on village, commune, district and provincial level within the Kampot province.

Furthermore, the research focuses on the planning procedure as this field was suggested as being most relevant for policy dialogue because it involves all administrative levels to a certain degree. Still, the existence of other relevant communication channels was verified during the research.

Stakeholders on all administrative levels are seen as key informants who make key messages to be sent along communication channels. Therefore, an actor analysis was chosen as an overall method. Especially, **network analysis** according to Schnegg and Lang (Schnegg and Lang 2002), offers appropriate tools to assess and analyse the social structure of a group, in general, and the embedding of individual actors, in particular. Therefore, dimensions of network analysis are actors consisting of either individuals or households or defined groups and relationships.

Schnegg and Lang distinguish between *Gesamtnetzwerken* and *Persönlichen Netzwerken*[19]. While the former defines actors first and then elaborates the relationships between them without considering actors outside this defined group, the latter determines the quality of relationship first and then identifies actors who share this particular relationship with the initial actor.

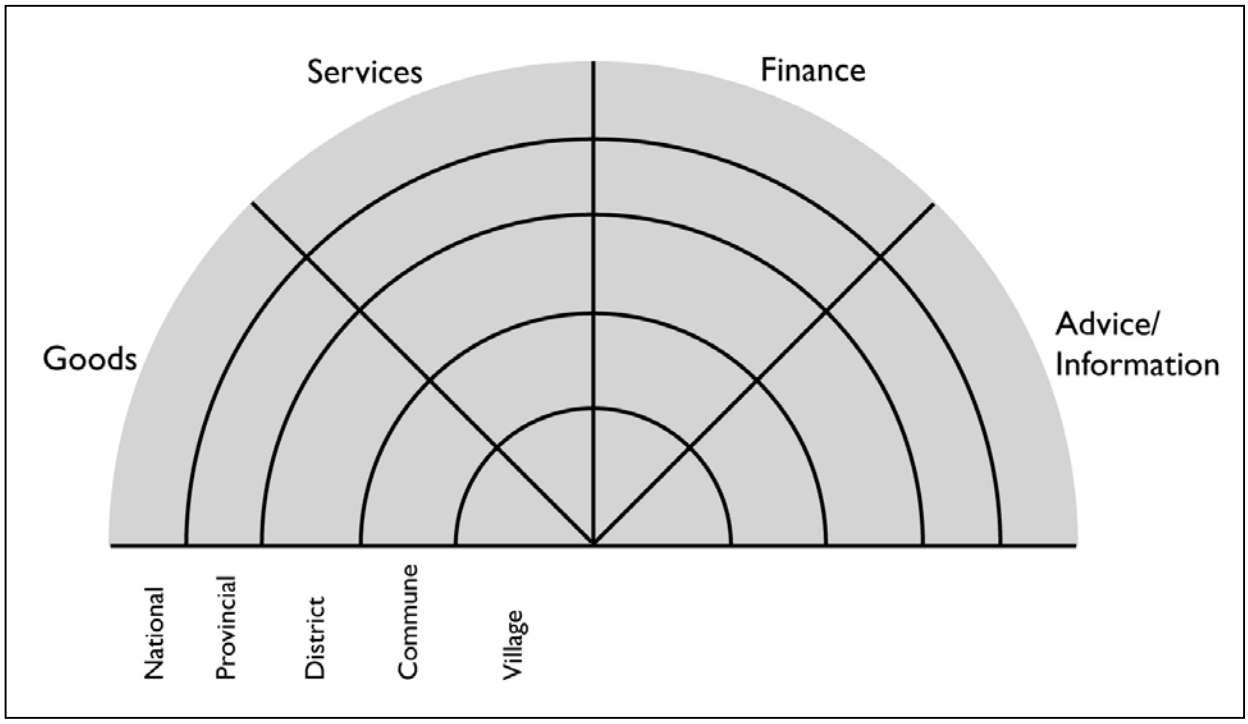
For this study, the approach of *Persönliche Netzwerke* is more appropriate and was chosen as an overall methodology because the kind of relationship is determined (planning process) and the relevant actors have to be identified. The pro-

[19] The literal translation would be “Overall Networks” and “Personal Networks”.

cedure will be explained in more detail after introducing three other tools utilised for this study: the Rainbow Venn diagram, the Policy Chain diagram, and semi-structured interviews.

The **Rainbow Venn diagram** (see Figure 33) used in the PFSM study is a combination of both the Rainbow and Venn diagrams with some adjustments made which were needed for the PFSM context. It presents actors and categorises according to two dimensions: the level of administration (village, commune, district, province, national) as the pure Rainbow diagram suggests, and purpose of relationship (providing goods, service, advice/ information, finance) as new categories instead of state vs. private sector. Additionally, the most relevant actor is marked with a dot during the application which reflects the parameter "importance" of the original Venn diagram. The Rainbow Venn diagram has been applied in the eight PFSM survey villages.

**Figure 33: Rainbow Venn Diagram (Source: PFSM 2005)**




The **Policy Chain diagram** is less sophisticated as it is used for brainstorming processes and discussing interim results rather than to collect data. It also presents a network of actors depicted by linked arrows (of different colours) to indicate certain relationships between/among the actors.

**Semi-structured interviews** with individuals were conducted using a collection of roughly guiding questions and sub-questions. This structure ensures that relevant aspects for the study are not missed. It also allows room for a fairly open conversation in which new issues can be brought up[20].

All tools described above were used to identify relevant actors and communication channels on all administrative levels. Starting both at the top (national) and the bottom level (village), connections to the next downward and upward level respectively were to be found to achieve a network bridging all levels. Based on this network, actors relevant for being included into the CPDDM were chosen.

The PFSM team **proceeded** as follows: A policy chain diagram was elaborated together with two Khmer resource persons during the PFSM preparation phase[21]. The focus lies on state actors on the one hand and on the national and provincial level on the other. Semi-structured interviews with representatives of the donor community and the RGC were held both on national, provincial and district level. To discuss the interim findings about actors and their relationships and to cross-check information gathered thus far, two more policy chain diagrams were elaborated and discussed on national level with FAO representatives, and on provincial level with GTZ staff and provincial officials. Parallel to this, Rainbow Venn diagrams were elaborated in eight villages for cross-checking and guaranteeing upwards compatibility[22]. All the data gathered during these sessions were collected in a database in order to assess the relevance of certain actors for certain issues, and their access to them. In the final step, the interviews and the date collected from the field were analysed and some recommendations were made about the CPDDM.

[20] See Annex 9.4 for the list of interviews.

[21] See Annex 9.5.

[22] See Annex 9.6.

## 6.3 Findings on Policy Dialogue and Decision Making in the Planning Process in Cambodia

The decentralisation reform described in Subchapter 3.1.1 reshaped political processes and thus, policy dialogue and decision making. For identifying and analysing actors, messages and communication channels, the planning process is taken as an example because all administrative levels are involved and addressed on a regular base. The next Subchapter presents findings of the present situation.

### 6.3.1 Actors, Messages and Communication Channels

One of the most significant findings based on the Rainbow Venn diagram is that although villagers are generally aware of the Commun Councils, they rarely contact any authority outside of their village. They would approach the village chief only on issues which cannot be resolved within the family network of relatives and neighbours. Nevertheless, recent decentralisation efforts have almost phased out the village level as a relevant actor in local planning. The procedure for conducting the local planning process, which can be seen as major activity where decision making takes place on a local level, can be summarised as follows in Table 8.

**Table 8: Local Planning Procedure: 11 steps (Source: RGC/NCSC 2001)**

| Level | Activities |
|---|---|
| Commune/ Sangkat | 1. Assess the current level of development and access to basic public services to identify the most pressing economic, environmental, institutional and social development issues for the entire commune/sangkat. |
| Village | 2. Verify and complete the above assessment by reviewing the situation of each village of the commune/sangkat. Produce a list of the prioritised needs of each village and identify how villages and civil society organisations are using or may use their own resources to address these needs. |
| Commune/ Sangkat | 3. Select the priorities at the commune/sangkat and village level on which to focus the council's attention and efforts. |

| | |
|---|---|
| Commune/ Sangkat | 4. Formulate a long-term development vision for the commune/sangkat, define immediate objectives to be reached within its five-year mandate for the identified priority issues, and define strategies and projects to achieve those objectives. |
| Commune/ Sangkat | 5. Prepare project study to determine its information, profile, and its feasibilities. |
| Commune/ Sangkat | 6. For this, make an estimate over a three-year period of resources available from own source revenue, national transfers and contractual arrangements with national/provincial/municipal agencies. |
| Commune/ Sangkat | 7. Make a preliminary allocation of available resources to priority projects and finalise this allocation after negotiations with provincial/municipal administration and other agencies, at the district/khan integration workshop (DIW). |
| District/ Khan | 8. Participate in an annual DIW[23], and enter into provisional agreements with provincial/municipal departments, non-governmental organizations and other national and international agencies for the financial and technical support from the above agencies to formulate and implement the commune/sangkat development plan. |
| Commune/ Sangkat | 9. Consolidate the selected projects and other routine management and administration activities into integrated sectoral and multi-sectoral programmes of activities of the council. |
| Commune/ Sangkat | 10. Prepare a draft commune/sangkat development plan and a draft commune/ sangkat investment plan, for submission to the council. |
| Commune/ Sangkat | 11. Request comments from the provincial/municipal administration and from the public on the draft commune/sangkat development plan and the commune/ sangkat investment programme, and based on these comments discuss, amend and approve the development plan and the investment programme. |

It is obvious that core planning steps are taken on the commune level. District actors facilitate the Integration Workshop. The villagers' involvement, including

[23] See RGC/MoP (2003) and RGC/MoP (2004).

the involvement of the poor, is therefore reduced to verifying assessments and to elaborating the list of prioritised village needs (RGC: Law on the Administration and Management of Commune/Sangkat; commonly called “The 11 steps”), and to sending representatives to the Planning and Budget Committee (PBC). Only in some villages do Village Development Committees (VDC) play an active role in the local planning process.

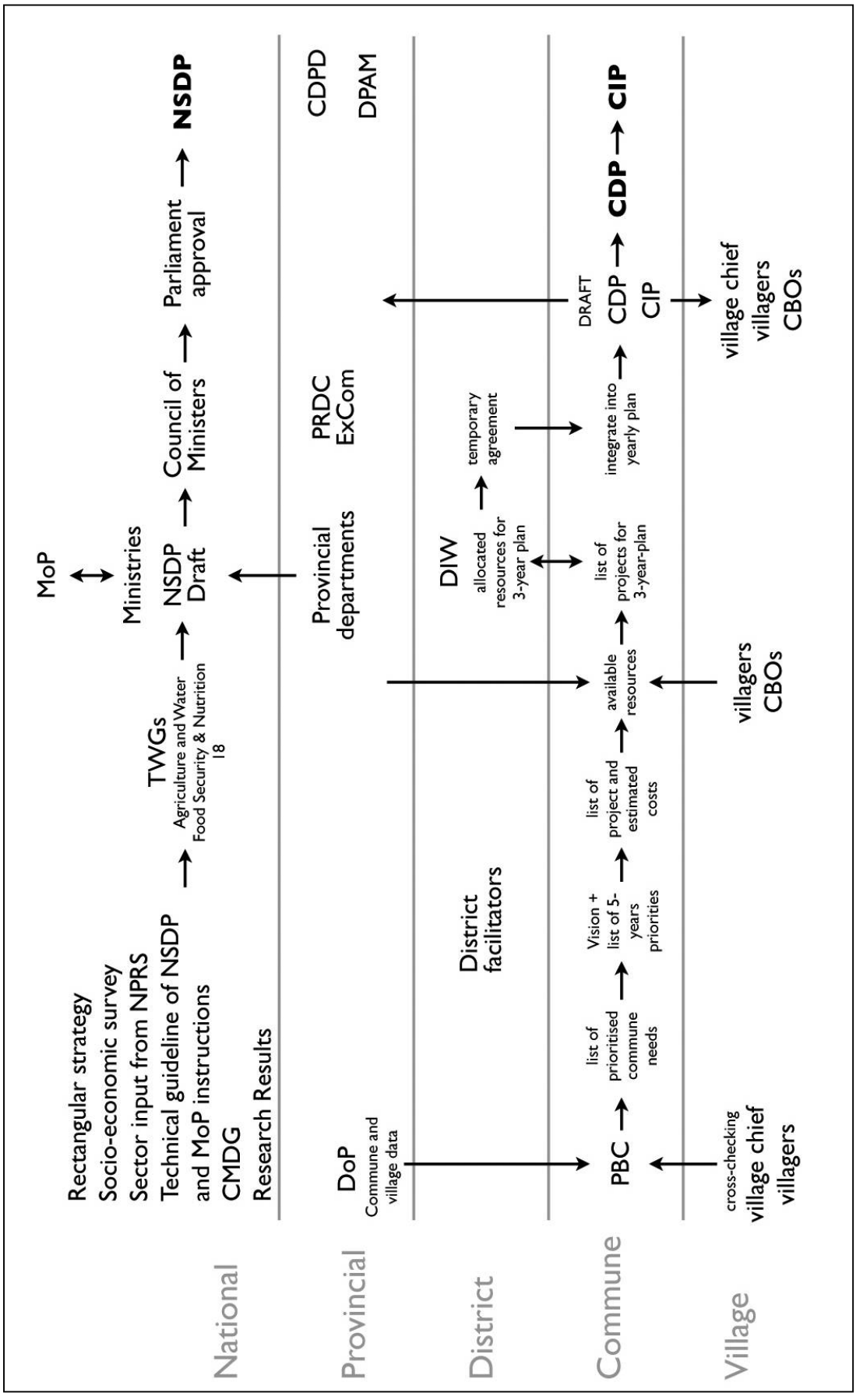
Local planning ends at commune/district level as can be seen at Table 8. Still, the CDPs are summarised in a Commune Development Plan Database (CDPD) at provincial level which is then transferred to the Ministry of Planning (MoP) at national level.

The planning process on national level which culminated in the National Strategic Development Plan (NSDP) 2006 - 2010 is carried out completely separately from local planning. Figure 34 gives an overview of both planning procedures.

Although the provincial level is included in both procedures, national planning generally concerns itself with international or national strategies (MDG, Rectangular Strategy), or nationally conducted surveys (Socio-economic Survey) or sectoral planning requirements rather than taking the locally identified interests of the poor into account. The links connecting poor people’s interests with policy and decision making remain weak.

**Figure 34: National and Local Planning Procedures (Source: PFSM 2005)**

See next page.


National
Provincial
District
Commune
Village
Rectangular strategy
Socio-economic survey
Sector input from NPRS
Technical guideline of NSDP and MoP instructions
CMDG
Research Results
TWGs
Agriculture and Water
Food Security & Nutrition
18
MoP
Ministries
NSDP Draft
Council of Ministers
Parliament approval
NSDP
CDPD
DPAM
Provincial departments
PRDC ExCom
DIW
allocated resources for 3-year plan
temporary agreement
DoP
Commune and village data
District facilitators
PBC
list of prioritised commune needs
Vision + list of 5-years priorities
list of project and estimated costs
available resources
list of projects for 3-year-plan
integrate into yearly plan
DRAFT
CDP
CIP
CDP → CIP
cross-checking
village chief
villagers
villagers
CBOs
village chief
villagers
CBOs

### 6.3.2 Conclusion on Potentials and Obstacles Concerning the Planning Process

Looking at the vertical communication links in policy dialogue and decision making in the planning process currently in place, three communication gaps can be identified within the planning process[24].

**Village – Commune Gap**

Due to historical legacy[25] villagers still tend to perceive the CC as part of the state structure rather than as an elected representative of their interests. The more powerful the CC is, the bigger the gap might be, if villagers, and especially the poor, have not been empowered to participate in planning and decision making processes going on at village and commune level.

**Commune – District Gap**

The commune – district gap marks the border between non-state and state structure. District facilitators are trained to assist CCs during the planning process because knowledge and experience on the lower level are still lacking. Sometimes district staff does not provide assistance as frequently as might be needed, and in some cases the district facilitators actually take over CC's responsibilities without consulting between the levels. When this happens, the priorities of the Executive Committee (ExCom) of the Provincial Rural Development Committee (PRDC) may be projected downwards and make them like communal priorities in appearance only.

[24] See Figure 35

[25] The commune level consisted of appointed state officials before the decentralisation process started in 2002, and was not perceived as very efficient by the villagers. Many of them do not seem to be aware of the fact that CCs are now their representative bodies.

## Provincial – National Gap

Development data gathered at commune level and transferred up to the province are often ignored when making policy decisions at the national level. The ministries' contribution to the NSDP does not adequately take the planning data into consideration. The national planning process is foremost related to the MDG, the Rectangular Strategy and sectoral requirements and uses data out of the nationally conducted Socio-economic Survey.

Potentials and obstacles referring to the different planning levels are summarised in Table 9.

**Figure 35: Actors, Channels and Events of Policy Dialogue (Source: PFSM 2005)**

See next page.

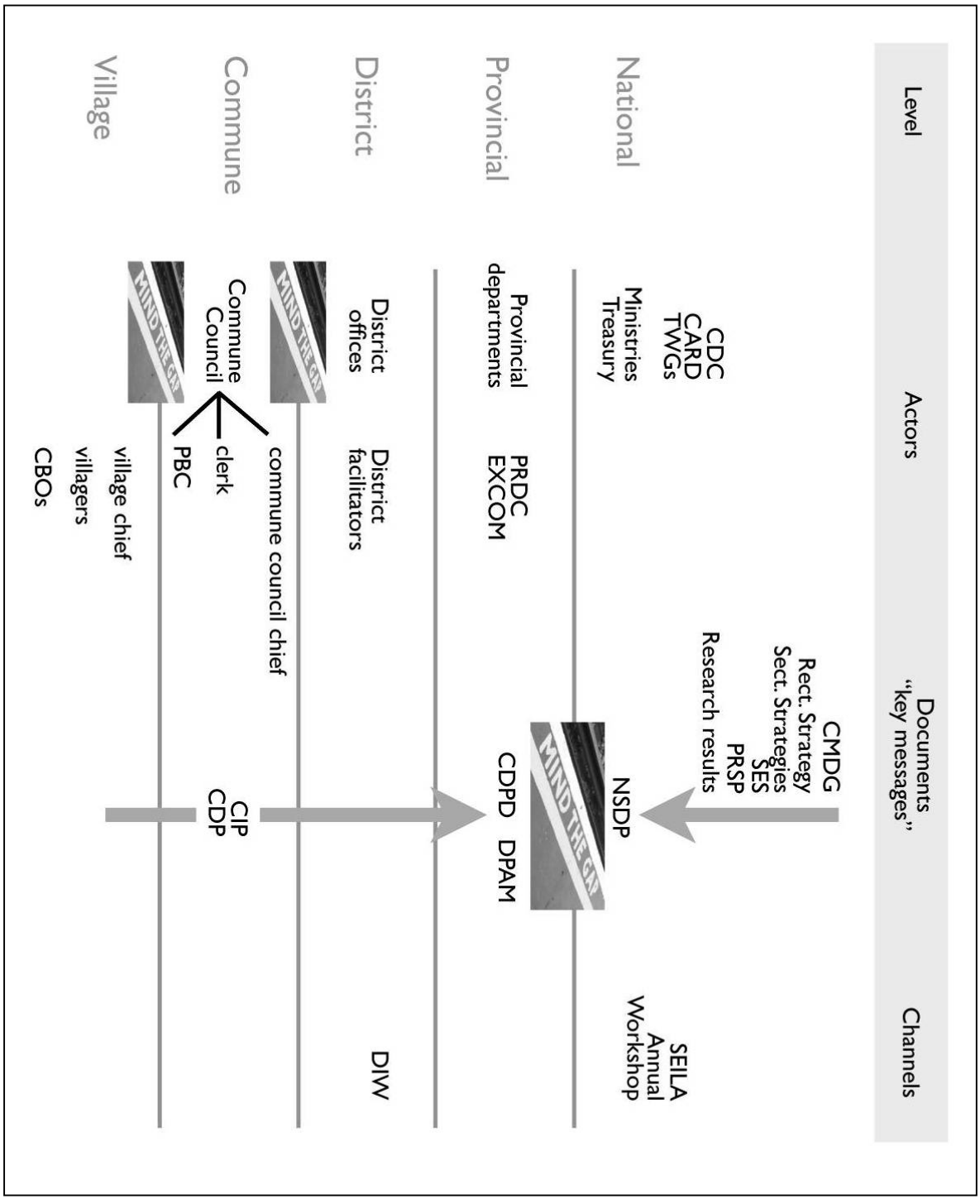

Level
Actors
Documents "key messages"
Channels
National
Provincial
District
Commune
Village
CDC
CARD
TWGs
Ministries
Treasury
Provincial departments
PRDC
EXCOM
District offices
District facilitators
Commune Council
clerk
PBC
village chief
villagers
CBOs
commune council chief
CMDG
Rect. Strategy
Sect. Strategies
SES
PRSP
Research results
NSDP
CDPD
DPAM
CIP
CDP
SEILA
Annual
Workshop
DIW
MIND THE GAP

**Table 9: Potentials and Obstacles for Actors to Contribute to the Policy Dialogue During the Planning and Decision Making Processes (Source: PFSM 2005 considering RGC/NCSC 2005)**

| Level | Potentials | Obstacle |
|---|---|---|
| **Village level** | Community Based Organisations (CBO) provide basic service to its members and help local people in voicing their concerns to the CC.<br><br>Villagers are considered in the local planning process in step 2. | Villagers, especially poor people, do not have appropriate opportunities to articulate their demand.<br><br>Villagers hesitate to contact official authorities. |
| **Commune level** | Planning and Budget Committees (PBC) facilitate the planning process.<br><br>Elected CCs receive capacity building and are empowered to conduct the core activities of local planning. | There are only weak inter-communal links.<br><br>The planning procedure does not correspond to the capacity of CCs due to its complexity.<br><br>CC clerks, appointed and paid by the MoI, partly take over responsibilities instead of assisting the CC chief. |
| **District level** | Government agencies provide support through District Facilitator Teams (DFT).<br><br>District Integration Workshops (DIW) function as a coordinating forum for CCs, NGOs and government agencies. | The planning process runs the risk of being driven by DFTs due to their extended capacities, and priorities are thus pushed down from upper levels.<br><br>Horizontal dialogue is very limited. District facilitators sometimes lack commitment.<br><br>The DIW is only to a limited extent used as a forum of real negotiation and dialogue. Priorities set on the CC lists sometimes reflect interests of ExCom rather than of villagers. |

| | | |
|---|---|---|
| **Province level** | ExCom's Technical Support Unit (TSU) and Provincial Local Administration Units (PLAU) support the process.<br><br>Governors and departments comment on commune plans. | Horizontal dialogue between CCs or District Facilitators is very limited.<br><br>Province level does not bridge the gap between district and national level.<br><br>ExCom structure only covers limited factors and capabilities (e. g., TSU with expertise on infrastructure (road, irrigation system) only. |
| **National level** | National governmental staff has high capacities.<br><br>Technical Working Groups (TWG) are established as consultative body for the government and support dialogue between government and donors in strategy development.<br><br>The NSDP process strives to harmonise different national strategies. | Ministries do not consider data on poor people's interests and priorities, collected on lower administrative levels during the local planning process, for their strategic planning.<br><br>Initiative from government side is very limited within the TWG.<br><br>Sectoral programmes and locally planned programmes are often implemented in parallel and not integrated at village level.<br><br>The NSDP process does not consider data collected during local planning, and cooperation with lower administrative levels is very limited. |

### 6.3.3 Recommendations Concerning Policy Dialogue and Decision Making in the Planning Process

As outlined in Table 8, a base for a decentralised planning process has been established. Functions and procedures are defined, staff has been trained. The planning process is still faced with limits in terms of participation and ownership. Although the process is practiced as a bottom-up approach with CCs involved as major players, interests of state officials sometimes dominate the process. This is partly due to a lack of capacity on the side of the CCs. This obstacle can be tackled by CC training programmes but also – and this is seen as major potential – through institutional arrangements. While the planning process focuses on verti-

cal policy dialogue, **horizontal communication** is rather neglected.

In this context the following activities are highly recommended to strengthen local actors and enhance their participation and ownership in the planning process:

- CBO could play a considerable role representing their member's interests. Members are already organised for a specific purpose (rice production, saving, water usage etc.)[26]. The established group could be encouraged to expand their interests beyond this initial purpose to form a group voice to ask to be included to a greater degree in the planning procedure, steps 3 and 4 (see Table 8).
- CC chiefs and members need to be further trained in activities relevant for the planning procedure. Additionally, horizontal dialogue among CCs of one district is suggested to align interests concerning cross-commune issues, like water irrigation systems or roads.
- PBC would also profit from further training on issues such as planning and budgeting as well as on aspects of organisations and lobbying.
- Mechanisms to follow up on commitments made by government departments to CC are required to further strengthen the non-government actors.

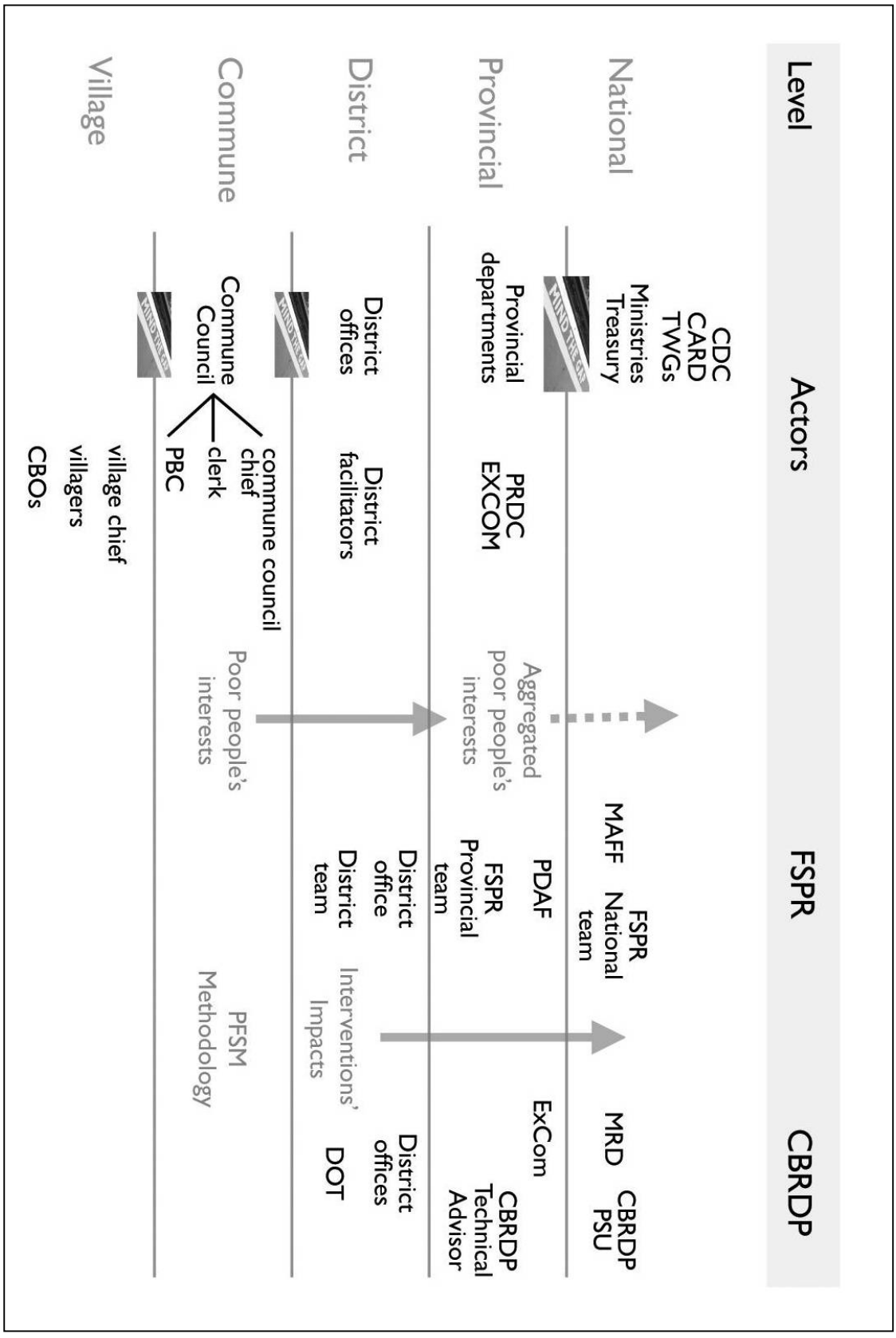
## 6.4 Proposals to Improve the Link between Poor People's Interests and Programmes' Results to Policy Dialogue and Decision Making

The objective of the three proposals elaborated below is to overcome identified gaps and to further strengthen the local level. The notes related to the arrows in Figure 36 provide an overview on how to better link poor people's interests and findings on programmes' impacts to policy and decision making. The next Sub-Chapter looks at each proposal in more detail.

**Figure 36: Proposed CPDDM for PFSM Results (Source: PFSM 2005)**

See next page.

[26] See Aschmoneit (1998).


Level
Actors
FSPR
CBRDP
National
CDC
CARD
TWGs
Ministries
Treasury
Provincial departments
PRDC
EXCOM
Provincial
District offices
District facilitators
District
Commune Council
commune council
chief
clerk
PBC
Commune
village chief
villagers
CBOs
Village
Aggregated poor people's interests
Poor people's interests
FSPR National team
MAFF
PDAF
FSPR Provincial team
District office
District team
Interventions' Impacts
PFSM Methodology
MRD
CBRDP PSU
ExCom
CBRDP Technical Advisor
District offices
DOT

### 6.4.1 Programmes' Internal M&E and Dissemination of Best Practices

#### Relevant Actors

The PFSM findings on interventions' results are first of all relevant for the commissioners of the study and their national partners. Internal planning and M&E departments might find the PFSM findings useful to adjust on-going projects or to consider them while planning follow-up projects. Furthermore, indirect users of findings on projects'/programmes' outcomes and impacts might be other development organisation conducting similar activities in Cambodia.

#### Key Messages

Key messages inform about the poverty and food security situation at village level and activities that were found to contribute to these objectives directly or indirectly. Corresponding results chains are displayed in Subchapter 5.2 of this report. The methodology to assess the villagers' system of livelihood factors is presented in Chapter 4.

#### Communication Channels

The kinds of communication channels vary between the two PFSM commissioners because of differences in their internal project structures. While FSPR does not employ internal project staff but engages government officials on provincial and district level, topping up their salaries, CBRDP hires staff on provincial level and pays a supplement to district officers. However, both project structures involve actors on district, provincial and national levels. Here an information flow can bridge the gap between provincial and national levels which was identified in the planning process. Nevertheless, feeding these findings into – state – strategic planning on national level remains a great challenge. Here the TWGs could play a greater role. These consultative bodies set up by representatives of the RGC and the community of donors and development agencies aims at harmonising state and donor strategies and thus would be a suitable forum both to provide and use the key messages mentioned above.

### 6.4.2 Application of the PFSM Methodology to the Local Planning Process on Commune Level

#### Relevant Actors

The PFSM team recommends applying the PFSM methodology as part of the local planning process on commune level. As the CCs are responsible for most of the 11 steps they should be trained to use the methodology in their villages. Additionally, cross-commune dialogue among CCs is proposed to coordinate their interests.

#### Key Messages

Compared to conventional ways of data assessment, PFSM's big advantage is that the information collected represent a broad spectrum of views and opinions. The PFSM has put a lot of effort into designing a methodology which includes poor people in the assessment of their interests and priorities, and asks about their perceptions concerning the development of certain livelihood factors in the village. Thus, the poor become involved along with the major village stakeholders as active players in the planning process. Additionally, the process itself becomes more open, transparent, participatory and is well documented and visualised.

#### Communication Channels

The pattern of communication channels already exists and is determined by the 11 step planning procedure. The advantage of the PFSM methodology is that it can be quickly applied a year later to follow-up on an already assessed situation. Furthermore, impacts of activities recently undertaken in the village are assessed, which allows an evaluation of projects, and facilitates a continuous planning process and enables continuous improvement.

In this way, the communes could annually collect Development Profiles[27] of each village and make them available to interested NGOs. The Development Profile should also be used during the annual DIW as a tool for making decisions on projects for the coming year.

[27] See Chapter 5.1.1

### 6.4.3 Aggregation of Data for Consideration at Strategic Planning on Provincial and/or National Level

#### Relevant Actors

At present, the provincial level has the DPAM and the CDPD available as database of requirements collected at local level. Although the two documents are transferred to the MoP on national level, the data are not considered for national decision making. Thus, officials on provincial and national level are to be addressed using the PFSM Village Development Profiles in aggregated version.

#### Key Messages

Compared to the DPAM and the CDPD, the Village Development Profile provides more detailed information. It does not only collect requirements by the villagers but adds information on interdependences of the important livelihood factors. The systemic approach used in the methodology not only enables one to assess impacts of an activity with respect to one livelihood factor but also how other livelihood factors are affected by this one.

#### Communication Channels

These additional findings are considered especially relevant on provincial and national level where different activities are supposed to be coordinated. Therefore, the Development Profiles need to be aggregated for both provincial and national level. It is suggested that the same channels as for the planning process are chosen as the data of the Development Profile are seen complementary to the data already channelled there.

### 6.4.4 General Application of the CPDDM

The CPDDM implies three components as proposed above. It considers horizontal as well as vertical dialogue and strengthens the local level. The applications briefly described above should be seen as examples only. The mechanisms can be used for any data to be collected on local level but required on provincial or national level. Finally, one could also use this method to assess specific governmental decrees and their impact on local populations in order to communicate local findings to higher administrative levels.

Generally, it should be kept in mind that participation of poor people in policy dialogue is only a first step. They need to see policy decisions made which take their articulated interests into consideration and, even more importantly see actions taken to implement these decisions.

# 7 Overall Conclusions and Recommendations

This Chapter concludes on major findings concerning the methodology, results chains and communication mechanisms for policy dialogue and decision making, and provides recommendations for the direct and indirect users of the study, particularly for the two commissioners FAO and GTZ.

## Conclusions

1. With respect to the **PFSM methodology**, it can be concluded that the methodology meets the criteria set by the commissioners: The methodology is simple and down to earth. It provides detailed and reliable qualitative data on relevant livelihood factors which are ranked according to villagers' priorities. The documentation format (Development Profile) is transparent. The methodology is able to assess certain effects of project/programme interventions at outcome and impact level. It can be applied in different project contexts and also in other sectors and regions. The application is fast.

2. The methodology is oriented towards open results and when implemented provides villagers' perspectives of their livelihood situation. This people-centred, participatory approach empowers villagers to play an active role in influencing the development of their villages, and offers strong capacity building for the participants.

3. The agriculture-related result chains of FSPR and CBRDP elaborated by the PFSM team can partly be checked with the PFSM methodology.

4. The methodology is based on the concept of systemic appraisal. It can identify the livelihood factors that determine the poverty and food security situation of the target group and assess how they influence each other in a dynamic system. Furthermore, it enables one to identify the most influential livelihood factors as well as those being strongly influenced by others. In this way, conclusions not only address outcomes and impacts which activities have on one livelihood factor but also consider effects on the others. Therefore indirect changes in the poverty and food security situation of the rural population are also described. Apart from applying the methodology for results-oriented M&E, it can also be used for initial as well as mid-term planning and developing overall development strategies.

5. The PFSM methodology makes qualitative outcome and impact monitoring of defined project/programme activities possible as well as qualitative evaluations regarding interventions in the field of poverty reduction and food security.

6. Best practices and most crucial livelihood factors as identified with the PFSM methodology can be fed into policy dialogue and decision making.

7. Conclusions related to **communication mechanisms for policy dialogue and decision making** focus on ways to improve the linking of poor people's interests and findings on interventions' results to policies. Although the commune level has been the core focus of recent decentralisation efforts and CCs play a key role within the local planning process, their capacities are still weak. Each commune tends to tackle its issues on its own. Therefore, they can not yet play their "bridging role" to policy making.

8. Several CBO at village and commune level exist in order to cope with basic needs of its members although they still do not play a major political role.

9. Data collected on village level are gathered to DPAM and presented at DIW. Although the database is transferred to the MoP on national level, the information is insufficiently considered when elaborating national policy strategies. The national planning process is more linked to ministries' priorities and donors' offers.

## Recommendations

The conclusions elaborated above lead to several recommendations for the users of the PFSM study.

1. The study commissioners are invited to **integrate the PFSM methodology** into their regular project/programme M&E activities as described in more details in the Subchapters 4.3.1.1 and 4.3.1.2. This enables one to complement the existing (quantitative) M&E data, which are mainly input, activity and output oriented, with more outcome and impact-oriented information. Nevertheless, it has to be pointed out, that the methodology is neither designed for input and activity M&E nor for the assessment of negative activity influences unless the methodology is adjusted accordingly.

2. It is recommended that the commissioners communicate and **disseminate the methodology and the results of the PFSM study** to major stakeholders active in poverty and food security and results-based M&E in Cambodia and beyond in order to make a tested methodology for outcome and impact assessment available to the broader development community.

3. If the methodology is applied to a broader and/or representative sample of project villages, **data can be aggregated** in a reasonable way to support management decisions for steering and/or re-planning of projects/programmes. Aggregated information from Development Profiles can also be used for decision making within the government structure both on provincial and national level. This could be a contribution to ensure that villagers' interests are considered in national strategies and thus to **bridge the gap between the local and national planning** process.

4. For improving the **local planning process**, it is recommended to **integrate the PFSM methodology** as a first step. This would ensure villagers' active participation in making plans instead of reducing their role to pure commenting on already prepared suggestions. Furthermore, villagers could become more aware of the fact that the CCs are their representative body.

5. It is recommended to further address the CCs' relationships downwards to the villagers and also upwards to the district level. CCs still lack capacities required for planning and representing their commune's interests on a higher level. Besides trainings, organisational arrangements could strengthen and empower CC. **Horizontal dialogue** among CC has to be promoted in order to allow coordination in cross-commune issues and to strengthen the voice of the CCs as representatives of the villagers, including the poor. Similarly, the voice of **CBO** should be **strengthened** by supporting regular exchange, in particular on issues of planning and prioritising, and formulation of the (poor) people's interests.

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# 9 Annex

## 9.1 Details on FSPR

### Technologies applied at the Farmer Field School

The following technologies are promoted through the Integrated Farmer Field School (IFFS):

- Crop intensification: improved rice – SRI (System of Rice Intensification), natural agriculture, organic fertilizer production and application, short varieties, community seed production, rice-fish, relay cropping
- Inland fisheries: fish refuge, pond and canal rehabilitation, enrich rice field-aquatic animal and plants, frog raising etc.
- Livestock: small animal, poultry, pigs, housing, veterinary; improved poultry: health (vaccine, vitamin), nutrition (local input, straw bed), local feed; manage crop diversification, home garden, market vegetables, compost, live fence, multi-purpose trees planting, natural fish stock, compost, seed, agricultural tools, improved cropping pattern, vegetables, fruit trees, small animal raising after rice crop, biogas, etc.
- Water management: improved non-irrigated wet and dry season crops, water harvesting, dyke improvement, collect rain water, drip irrigation, home made drip system, water storage
- Off-farm activities: improved off-farm - skill training, sewing, carpentry, handicraft, food processing, small scale business
- Community micro projects: water pump, water user groups, minor civil work, village support funds (grand proposal, guideline, grant form)

### The Different Types of Community Fund

1. Saving group – group fund (SHG)

The setting up of a SHG after the end of the first season of FFS is aimed at promoting income generation for individuals. This is used as working capital to purchase fertilizer, pigs, chickens, vegetable seeds, rice seeds, hand tools, fingerlings and other micro enterprise inputs.

2. Community micro projects (CMPs)

The micro projects are selected through Participatory Community Planning/Village planning. A village planning workshop to which all villagers are invited is, for example, a place where such selections are made. A grant with a maximum amount of $1000 can be used for one or more micro projects. These

are grants intended to help finance community micro projects which will benefit the entire village and have a high relevance to reducing food insecurity in the village, e.g., rice banks, wells, improvement of market sanitation, community information centre. Village Chief, VDC, Commune Council and other stakeholders in a village must be informed about the projects.

3. Income generation for groups after FFS ends

Grants are intended to be used by FFS participants who have identified group enterprises as a means of improving their incomes, e.g., bulk purchase of inputs, joint marketing of produce, joint production of vegetables, joint ownership of rice mill, etc. The maximum grant will be $250 and is supplied in cash. The activity has a high relevance to reducing food insecurity among group members or in the community. The group has at least five members, two of whom have participated in the FFS. The group has a written constitution and elected leaders, including a book-keeper, and a viable business plan which includes:

- A clear definition of the business and agreement on rules to run the group enterprise
- Division of roles and tasks among group members
- Start up and running costs
- Agreement on rules to share costs and profits among the group members

The group should obtain technical advice on the feasibility of the enterprise from relevant technical staff. It should also have a cash flow plan indicating that they will contribute approximately 30 % of the investment costs**.**

## Capacity Building

The immediate objective of capacity building is to strengthen the technical and managerial capacity of the FSPR staff. The activities carried out include:

- Training of trainers: all national, provincial and district staff attend Training of Trainers course. The aim is to provide them with appropriate and necessary knowledge and skills to carry out activities in the field
- Training all provincial and district staff on various topics related to rice and vegetable productions.
- Training all national, provincial and district agronomy technical staff on mushroom production.

- Training all provincial and district livestock staff on specific topics like chicken and pig production
- Training all national and provincial agricultural extension staff on “Information and Communication Strategy for Farmer Field School”
- Training all national and provincial agricultural extension staff on Group Saving and Self Help Group
- Training all national and provincial rural development staff on Community Development Concept
- Training all national, provincial and district irrigation staff on the Small Scale Irrigation Methods and Water Storage
- Training all national team and all provincial team leaders on socio-economic baseline survey methods

## FSPR Partnership

Stakeholders who are most closely connected to issues related to improving food security and income generation for the rural poor in Cambodian form a partnership known as the FSPR Partnership (*This partnership is not necessarily established as a legal entity. The term "partnership" can be used to describe the way in which the relevant stakeholders work together. It is the attitudes and approach associated with the terms "partners" and "partnership" that are important.*) in coordinating development activities in Cambodia.

As stated in the Rectangular Strategy, strengthening partnerships with all development partners - the donor community, the private sector and civil society is a top priority of the Royal Government. The partnership is a strategic framework for integrated and sustainable implementation of the food security activities. The role of the partners is to consult together on ways in which they can cooperate and coordinate their activities in order to achieve their vision and goals according to a shared management philosophy.

## A Management Coordination Mechanism

Within this context, a management coordination structure was established to operate in order to achieve the objectives of the FSPR. The structure of the relationship between MAFF and FSPR is shown in Figure 37.

## FSPR Coordination Bodies are:

1. The Council for Agricultural and Rural Development (CARD):

    - Their duties are to assist in providing comments and recommendations, to ensure the effective implementation of management in accord with all stakeholders and to assist in facilitation and coordination with donors in terms of identifying funding sources for further project implementation in a sustainable manner.

2. NEC National Executive Committee Management Coordination Committee:

    - They are there to coordinate program formulation and implementation as it affects FSPR in order to optimise the improvement of food security and income generation for rural people in a sustainable way, and to avoid conflicts arising from coordination practices, and supervise monitoring of the smoothness of the implementation.
    - The membership include heads of relevant departments in MAFF and other ministries (for example: Ministry of Rural Development, Ministry of Land Management, Urban Planning and Construction, MOWRAM, and Ministry of Health), other representatives of Governors in six provinces and NGO community. The committee is chaired by an Under-Secretary of State from a relevant Ministry.

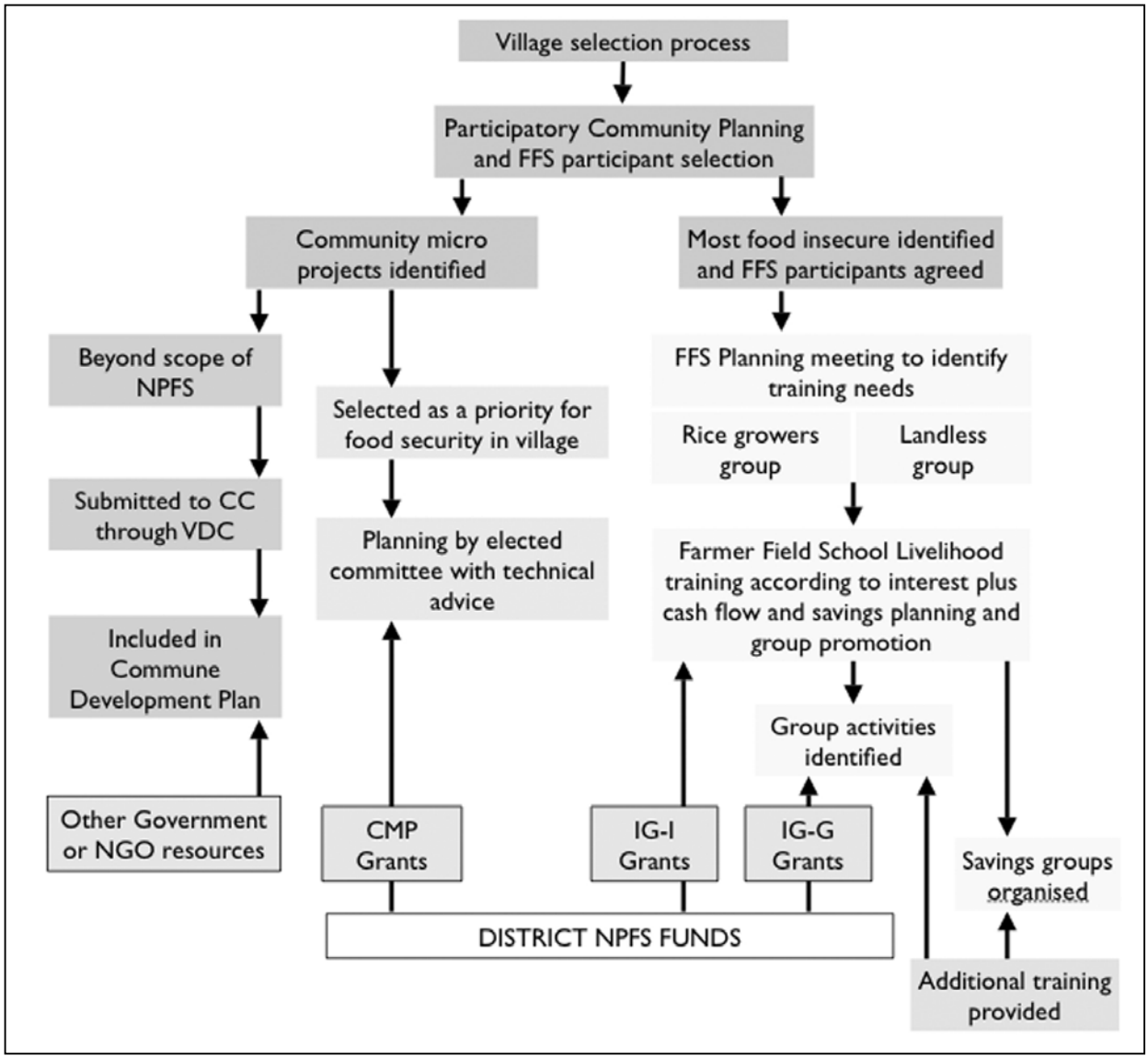
3. Technical Working Groups:

    - The existing Technical Working Group for Food Security and Nutrition (TWGFSN) plays a key role in bringing together individuals with relevant expertise and experience in order to provide focused advice on specific technical issues to the Management Coordination Committee and the NGO Representative Consultative Group and the FSPR.

4. NGO Representative Consultative Committees:

- The purpose of Consultative Committees is to bring NGO stakeholders together to discuss issues of common interest in relation to the FSPR, with the aim of developing recommendations or other forms of input for the Management Coordination Committee, and to identify individuals from civil society and NGOs with relevant expertise that may be useful for Technical Working Groups.
- The NGO representatives in each Consultative Committee are made up of stakeholders dealing with the food security area, or having a clearly demonstrated connection with some aspect of improving food security and income generation for the rural people.

**Figure 37: FSPR Structure (Source: Heney and Seiffert 2004)**



## 9.2 Details on CBRDP

### Agricultural Related Activities

Detailed explanations of the most important agricultural related activities are given below.

### Rice Training

The purpose of the rice training is to contend with the rice food security problem. The CBRDP strategy was and still is to increase the rice yields by training farmers to apply additional chemical fertilizer and adopt improved rice varieties.

Rice training approaches include the rice-fertilizer programme which is aimed at increasing rice production substantially by implementing field demonstrations, facilitating access to agriculture inputs and providing farmer trainings.

Another effort to increase rice production which introduces different production techniques is the System of Rice Intensification (SRI). SRI, originally developed in Madagascar, describes a number of elements which, when used in combination, show very high yield increases even with local seed varieties. SRI is a system of indirect sowing, i.e., first seeds are sown in a seedbed and then later transplanted to a rice paddy field in a specific manner.

An organic rice production project was started by GTZ-RDP both in Kampot and Kampong Thom in 2003. The farmers who joined or join the project are required to grow rice according to organic standards. Most of these farmers receive trainings in SRI as these two production techniques – organic and SRI – can be easily combined. Both efforts also strive to improve soil conditions by fertilizing with organic matter or green manure. The SRI programme aims to substantially increase rice production by implementing field demonstrations and providing farmer trainings.

The programme consists of three intervals of village-based trainings and field days. The first takes place at transplanting time, the second around 30 days after transplanting, and a third at panicle initiation. These intervals mark the basic three periods for the split-fertilizer applications. Normally, all villagers are invited to the trainings. In the same village, around 40 villagers receive a small mini-kit packet of improved seed (5 kg plus leaflet with technical information) which they can try out on a small piece of their own land using the skills learned in training.

At the same time, two to four farmers receive improved seed and fertilizer for conducting a demonstration on their field. During trainings, visits can be made to these demo-plots and farmers in the village can look at the field and interact with the farmer during the whole season. At least one of the demonstration farmers is selected from among the poorest in the village.

### Promoting New Techniques (Improved Varieties, Fertilizer Use)

The rice-fertilizer programme aims to increase rice production substantially by implementing field demonstrations, facilitating access to agriculture inputs and providing farmer trainings. Discussions with farmers, farmer groups and an impact assessment revealed that after an initial “wait and see” attitude and period, farmers take up the adopted technology. It has been observed that it is even being spread to non-target villages. It is highly likely that the adoption rate will significantly increase within the period of the CBRDP and beyond.

### Home Gardens

This project works to introduce home gardens and modify those that already exist. The aim is to contribute towards a continuous supply of vegetables and fruits for home consumption. Women are especially addressed in this context.

### Vegetable Training

The purpose of vegetable training is to increase the nutritional value in the diet of rural people, and to stimulate income-generating activities through vegetable farming.

Trainings for vegetable growing are conducted for two distinctive groups. The first group are those farmers who start with fish farming and who are also interested in growing vegetables. This ensures that sufficient water is available, especially during the dry season. This activity is mainly in Kampot province where fish-raising in ponds is more abundant. The second group that receives training are other interested farmers and this group is mainly comprised of women. Vegetable growing and fruit production provides farm households with their major source of diversification and can contribute significantly to household food security.

## Fruit Tree Planting

The fruit tree program focuses on small scale farmers and encourages them to plant fruit trees in their garden. They are able to receive fruit tree seedlings with a 50% subsidy. The main species requested are mango, longan, jackfruit and lemon. For schools and pagodas, fruit tree seedlings are provided free of cost. In addition, private nurseries have been established in all districts.

## Training on Fish Farming

Fish-hatches provide the farm households with a major source of protein and contribute significantly to household food security. For many rural families this is also an important cash income source.

The training and extension approach on fish farming includes and focuses on the training of “key farmers” to become change agents at village level to support farmer-to-farmer extension approaches. Trainings for farmers are integrated with a vegetable growing and fruit/multi-purpose tree training conducted by specialist DAFF staff and take three days. All farmers have access to subsidized (50%) fruit trees seedlings and can receive fodder and multi-purpose trees free of cost. In Kampot province, the fish-farming concept is based around family fishpond construction activities. This paves the way for the adoption of aquaculture to ensure food security and to create additional broader based income. The establishment of farmer groups is an integral part of the training and is actively supported. Technical advice and logistical support for fingerling procurement was provided to the former trainees.

## Chicken Raising Training and Vaccination Programme

Within the overall training concept the respective Village Livestock Agent (VLA) plays a very important role. Besides the vaccination service he/she provides extension work on any type of animal health care and vaccination issues that are raised. Additionally, they are important agents for monitoring and controlling animal health. The training consists of two days of theory and practice at village-level and generally all villagers have the possibility to join, although vaccines are provided to only 50 farmers.

This programme concentrates on chicken housing and chicken nutrition and includes demonstrations with improved housing, feeding and improved chicken breeds and training events. It especially targets poor households.

The major objective of the chicken raising training and vaccination programme is to augment chicken husbandry as a reliable income generating activity and source of animal protein for the villagers.

## Activities to Promote the Qualification of Services

The purpose of this component is that public and private service providers produce qualified and demand-driven results.

- Building capacity on technical and management topics for provincial and district agriculture staff
- Training private service providers, e.g. village animal health workers and farmer promoters, and supporting them in the delivery of demand-oriented services
- Promoting joint planning between PDAFF and commune councils
- Supporting extension services to farmers in disseminating the utilization of new agricultural techniques and adapting them to the special needs and potential of different target areas
- Conducting field demonstrations on new technologies, i.e. integrated farming and rice production
- Field days of mass trainings on fruit tree and vegetable production, and aquaculture will help diversify food production of individual households and generate additional income
- Producer associations and farmer groups receive training on business management skills to better reach out markets

## Qualification of Services in Rural Infrastructures

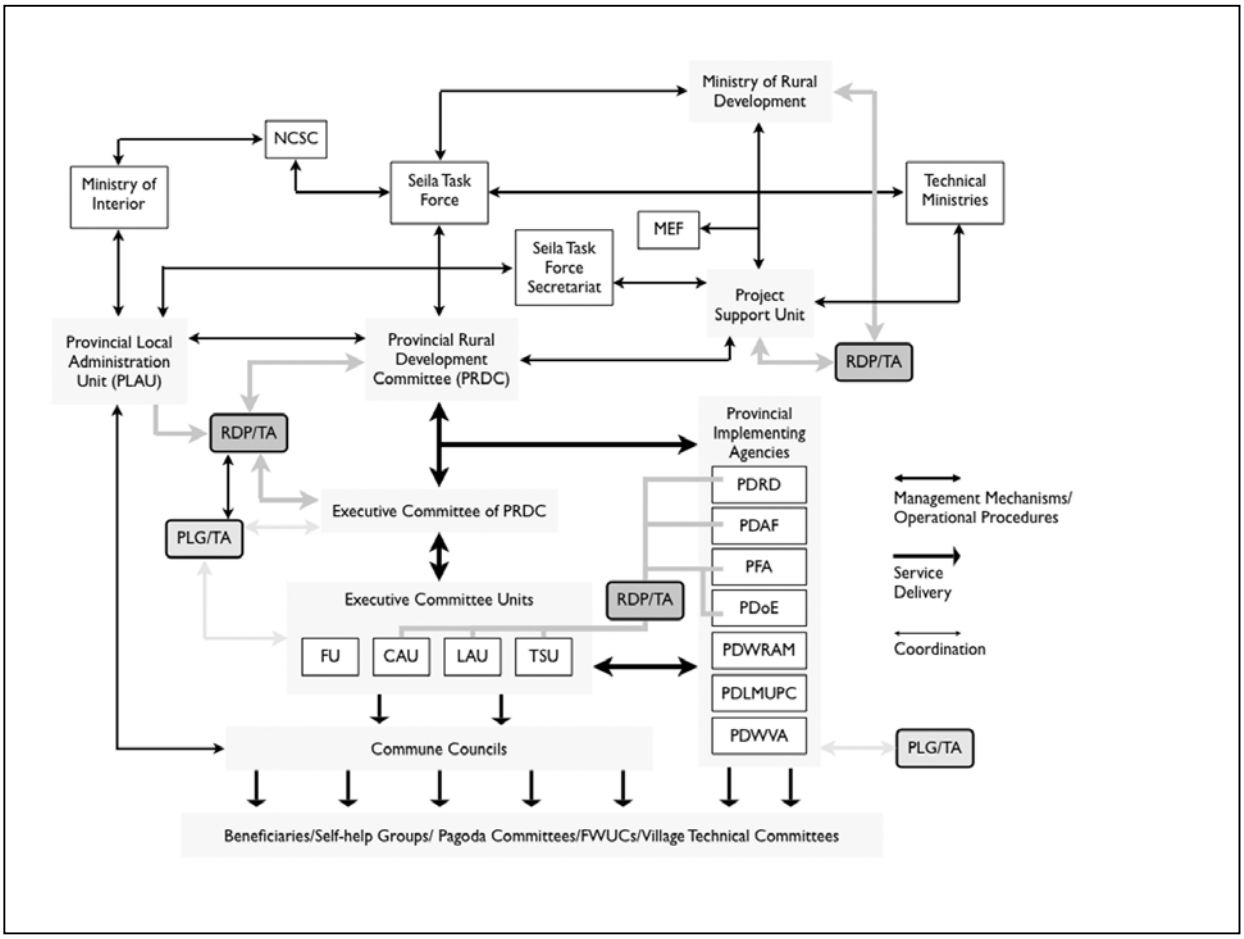
- Implementation of the Rural Infrastructure Investment Fund and the associated beneficiary training and capacity building to finance the infrastructure investment
- Training course on how to mobilize revenue for road repair and fund management; report writing and meeting minute taking; book keeping, planning, and conflict management provided to the road committee members as well as the village chief and commune councillors
- Training course on road repair techniques provided for road committee members as well as for village chief and commune councillors
- Road maintenance committee and road labourers participate in development of community rules in using and maintaining the community road
- Road maintenance committee and road labourers participate in training technical and management courses organised by the project
- Providing capacity building for the provincial Technical Officers and commune councils, to improve planning and implementation of civil works

- Supporting Provincial Technical Officers to design rural roads and wells and to monitor the quality of construction
- Advising Provincial Technical Support Units in the bidding process and in transparent assessment of tenders
- Supporting Provincial Technical Officers in their service delivery function towards Commune Councils

## Management and Coordination Mechanism

The project organisation structure designed several key entities at national level, namely the Ministry of Rural Development (lead project agency), the Seila Task Force (STF), The Seila Task Force Secretariat (STFS), and the Ministry of Economy and Finance (MEF), technical ministries and the project support unit.

**Figure 38: Technical Linkages with the Organisation Structure for CBRDP (Source: Fleddermann 2005)**



1. Ministry of Rural Development (MRD)

   The Ministry (MRD), as Lead Project Agency, is responsible for the coordination of the successful implementation of the project. The MRD's responsibilities are providing coordination with agencies concerned at the national level in the implementation of the policy for decentralised development. The Ministry relies on the Project Support Unit (PSU) to carry out inter-ministerial and inter-provincial coordination at the working level.

2. Seila Task Force (STF)

   The STF has specific responsibility for the endorsement of the projects Annual Work Plan and Budget (AWPB). The STF includes a short summary of Project Progress in the quarterly Seila Progress Reports. Other more broadly stated responsibilities in the loan agreement include policy guidance on decentralisation of government functions, provision of inter-ministerial coordination and oversight of the progress of the project.

3. Seila Task Force Secretariat (STFS)

   STFS is responsible for ensuring the use of the decentralised development fund and for processing the AWPB to the STF for endorsement.

4. Ministry of Economy and Finance (MEF)

   The main responsibilities are the submission of withdrawal applications, operations of the Special Account, disbursement of the proceeds of the loan to the project Accounts, and discharge of the Borrowers counterpart contribution.

5. Technical Ministries

   They provide sector policy guidance and technical support to the provincial line agencies.

6. Project Support Unit (PSU)

   The PSU is responsible for coordination among national level entities (STF, STFS, and MEF) and technical ministries. It is PSU's job to disseminate information, such as progress reports, meeting reports and project studies. It also has the task to clarify decentralisation policies relevant to the project design and project objectives.

7. Provincial Rural Development Committee (PRDC)

PRDC is responsible for the coordination and management at provincial level in order to have a successful implementation.

8. Executive Committee (ExCom)

The ExCom is responsible for the execution of standard operational procedures for CBRDP/RDP planning, monitoring, reporting and evaluation. The ExCom units are also responsible for the CBRDP implementation contracts and financial management, including the bidding process.

9. Contract and Administration Unit (CAU) and Finance Unit (FU)

The CAU and FU which are ExCOM units, coordinate predominantly with the implementing agencies regarding the aforementioned responsibilities.

10. Local Administrative Unit (LAU) and Technical Support Unit (TSU)

LAU and TSU have the responsibility of service delivery to Commune Councils. The TSU is further responsible for service delivery with regard to commune funded infrastructure activities.

## 9.3 Methodology Manual

### 9.3.1 Phase 0: Sampling and Preparation

#### Sampling

**Objective:** Survey area and number of cases (villages) are chosen to statistically reflect the overall population for which information is needed.

Precondition of the application of the PFSM methodology is an appropriate sampling: choosing the area and number of cases out of a defined overall population for which results are expected. The area could be an administrative level (village, commune, district, etc.), or a more broadly defined overall area to be covered by the application (nationwide, province, agro-ecological zone, etc.). Once the total population has been defined, a statistical assessment is made to find out how many sample cases need to be analysed to gain representative results.

In the case of this study the sample was basically predetermined. The focus of the PFSM commissioners was on the development and testing of a suitable methodology. It must be clearly stated here that the sampling of PFSM was not representative and was purely meant to identify a suitable area for testing this methodology.

#### Selection and Training of Survey Team

**Objective:** Survey team with Participatory Rural Appraisal (PRA) background is selected and enabled to facilitate the field survey

The second step of preparation involves the selection and training of the survey team. As described later, the facilitation of some of the steps of the PFSM methodology needs strong facilitation and group moderation skills. Therefore it is essential to set up a survey team with some experience in application of PRA tools in rural areas.

Depending on the number of cases (villages in the PFSM case), the needed number of teams and the number of facilitators can be determined. A maximum number of two cases can be implemented within one week; each case needs a team of at least two facilitators, with at least one being native speaker of the lingua franca of the population. Each team nominates a spokesperson, responsible for introduction, administrative tasks and delivery of survey data.

The group of facilitators is trained in the application of the methodology in form of a workshop, if possible on two consecutive days. The workshop is designed to carry out a simulation of the actual survey techniques which will be used in the field. Therefore, each step of the methodology is practically implemented with some group members taking the role of the target group and some the role of the facilitators.

## Organisation of Field Phase

**Objective:** All persons involved are informed about field testing, focus groups are set up in villages and logistic schedule for survey is developed

The most critical part is the setting up of focus groups. Generally this setting up can be organised responding to specific objectives of the survey. In case of the PFSM survey it was agreed to have two separate groups: one group representing poor households and one group consisting of major stakeholders in the villages. In the study area of PFSM this task was simplified by the existence of lists of most vulnerable households on commune level which could be used for selection of participants. Each focus group was supposed to have between 7 and 10 participants representing a broad spectrum of the population. The total number of participants therefore ranged from 14 to 20 people for each selected village.

According to local customs the issues of food, accommodation of survey team, transport and specific requirements have to be arranged.

## Pre-Test

**Objective:** Adjustment of methodology, testing and amendment of livelihood factors and additional training for survey team

The last step before starting the field phase is the conducting of a pre-test in one of the selected villages. The pre-test has three different objectives. It should

- Help adjust the methodology to local customs of specific needs which had not been taken into account during preparation
- Help test and amend the list of livelihood factors which is used by the facilitators to cover a broad spectrum of livelihood assets and
- Be an additional step of training for the survey team and help harmonise the mode of application used by the different survey teams

### 9.3.2 Phase I: Analysis of the Present Situation

#### Step 1: Timeline and Identification of Livelihood Factors

**Objective:** Introduce villagers to the topic and methodology; find out about major changes in the village situation over the last years

| | |
|---|---|
| **Material used:** | paper sheets, pens, stones, sample-timelines |
| **Material prepared:** | two sample-timelines, two sheets with empty timelines |
| **Group composition:** | 1 Group of major village stakeholders<br>1 Group of members of Most Vulnerable Households |
| **Group size:** | 7 to 10 people in each group |
| **Time:** | 45 minutes |

**Description** (see Figure 9 and Figure 10)**:**

The timeline is a step to get the group discussion started. Villagers get an idea of the concept of livelihoods as they analyse changes in the village situation over the last years as well as the reasons leading to those changes. The timeline is conducted in two different groups: one group with major village stakeholders and one group with members of most vulnerable households. This allows the assessment of possible differences between the perspectives of poor and better-off villagers.

The exercise begins with the facilitators explaining the idea of a timeline with an example that was prepared before. The timeline for each group will be drawn on an already prepared sheet that contains a horizontal time scale with major events of the last years and a vertical scale ranging from the worst possible situation (bottom of the chart) to the best possible situation (top of the chart).

To start the exercise, the present situation in the village is assessed and the group agrees on where to place a stone on the scale between worst and best possible situation. Then the facilitators move one year back on the time scale and ask the group again to place a stone on the scale between worst and best possible situation for that year. Comparing last year's situation with the present situation is a first step where arguments and reasons are exchanged and noted in the timeline chart. Changes in where to place stones in a certain year can al-

ways be made, important is a transparent process and group consensus. Step by step the facilitator moves one year backwards always keeping in mind to compare the situation with the prior years and taking note of all reasons given for a good or bad situation. After analysing every year on the time scale, the place where the stones are situated are marked with a pen and a line is drawn connecting all the marks. Both groups should finish on the agreed time, regardless of what they are working on at that moment. The timeline results will not be further analysed because they are only used to start people thinking back in time and opening up the perspective of factors which determine their livelihood situation. The two groups join again and the results of both timelines are presented and discussed in plenary group discussion.

**Please note:**

- Guiding questions:
    - How do you see the situation in the village today?
    - Is it worse or better compared to the year after/when there was …?
    - What made the situation good/bad/average?
    - If you compare the good/bad/average situation with the year before or another year, how was it then?
    - Why was the situation worse/better at that time?
- As the tool is used in two different groups regarding major stakeholders and poor people, make sure to use each person's name when they are called to the different groups and do not refer to the group composition as "poor" or "major village stakeholder" to avoid embarrassment
- The timeline should reflect the village situation: if people place a stone, ask the rest of the group if this position reflects the situation of the whole village
- If somebody does not agree with the rest of the group, allow him/her, to draw his/her own mark, but the focus should always be on the village situation
- Ensure that the timeline covers a broad spectrum of factors that reflect different aspects of the village situation and is not reduced to one factor like e.g., availability of infrastructure. This variety of factors should include the different aspects as described in livelihood assets (e.g., rice production, water availability, road construction etc.)
- Important dates or events for the village should be included in the timeline (elections, major infrastructure, etc.)
- Make sure that all factors that were mentioned by villagers are written down in the timeline
- Take note of important points of the final group discussion in plenary

## Step 2: Collection and Prioritisation of Livelihood Factors

**Objective:** Determine the eight most important livelihood factors for the respective village

| | |
|---|---|
| **Material used:** | paper sheets, pens, stones, timelines prepared in first exercise |
| **Material prepared:** | sheet with empty table to collect and record livelihood factors |
| **Group composition:** | plenary session |
| **Group size:** | 14-20 people |
| **Time frame:** | 50 minutes |

**Description** (see Figure 11)**:**

The two timelines are presented and discussed in a plenary discussion. The objectives of this exercise are to identify similarities and differences about events which are described in the timelines, find out, why these events were important for the village development and thus find out which factors determine villagers livelihoods.

After identifying crucial events, or reasons for a specially good or bad situation, the positive formulation of such reasons as “livelihood factors” is conducted. For the example of a serious drought that strongly affected the situation in the village, the (positively formulated) livelihood factor could be “timely and sufficient rain.”

All such livelihood factors are collected in the prepared table. After the identification of all livelihood factors that can be drawn out of the timeline, the question about additional factors that have major influence on the village situation is raised. Here the second facilitator ensures that all five livelihood assets (natural, physical, human, social, financial assets) are mentioned. In case certain assets have not yet been covered, the second facilitator actively raises questions about certain factors. When part of the group agrees about the importance of a certain factor, it is added to the list.

The livelihood factors have to be formulated precisely and made understandable for the villagers. They should not be formulated as activities (e.g., road building)

but as nouns and adjectives describing conditions (e.g., quality of road). As this step is crucial, make sure that the term “livelihood factor” is well explained in simple words to the villagers.

From the above exercises there is now a complete list of many livelihood factors which villagers feel have had influence on their situation. The next step is to select the eight most important livelihood factors out of this comprehensive list.

For this prioritisation step, every villager has four scores he/she can give to the individually most important livelihood factors. When some of those people involved in doing the exercise are illiterate, the complete list of factors with their respective number is presented again. Then the villagers are asked to remember those four numbers which are most important for them. Both facilitators actively support every participant in scoring the factors. After every villager has made his/her marks, the survey team counts the marks given each factor and selects the eight factors that were given the highest marks. At this stage a short break with refreshments is advisable.

Before moving to the next step, verify the results of the prioritisation with the whole group. If the group is not satisfied with the result, amendments in the scoring can be made. After common agreement, the livelihood factors are inserted into the prepared sheet for the livelihood matrix scoring and the trend analysis ranked according to their importance (most marks, highest importance).

**Please note:**

- Guiding questions:
    - If you look at the timeline, the reason for the change of the timeline has been … . What was the reason for this change? What is the factor determining this situation?
    - What was the reason for the situation being good at that time …?
    - What other changes, apart from the ones mentioned in the timeline determine the village situation?
- People have to sit together in one group, and everybody must be able to see the sheets that are presented to the group
- This step is crucial, so the definition of the livelihood factors has to be done with care: very precise formulation, for example, if a school was built, that improved the situation in the village, the livelihood factor is not “school building” but “education”; if there is a drought that reduced the rice yield, the livelihood factor is not “water” but “timely and sufficient rain” and “rice production”

- One person from the survey team takes care that all livelihood assets are covered; if the people do not mention factors from all different livelihood assets by themselves, give them examples (cash availability for financial asset)
- All livelihood factors in the list are numbered; read all livelihood factors again before prioritisation with their respective number and ask people (especially the illiterates) to remember the number
- Make sure that the village stakeholders are not the first ones to mark as all other villagers might follow their example
- The people should not mark in groups. Instead, each person should mark separately to ensure that they express their own opinion
- If two or more factors get the same amount of marks, ask the whole group to prioritise these again

## Step 3: Trend Analysis

**Objective:** Analyse the trends and developments of all livelihood factors over the selected time period

| | |
|---|---|
| **Material used:** | paper sheets, pens, stones |
| **Material prepared:** | prepared sheet with trend analysis table where the eight livelihood factors are inserted after they have been ranked according to priority |
| **Group composition:** | one mixed group (half of major village stakeholders and half of most vulnerable household members), the other group is working on another task called livelihood matrix scoring (see Step 4) |
| **Group size:** | 7-10 people |
| **Time frame:** | 60 minutes |

**Description** (see Figure 12)**:**

This exercise is conducted in one mixed group while the other mixed group is working on the livelihood matrix scoring (see next Chapter).

The trend analysis allows a more detailed look at the trends of each of the eight most important livelihood factors in the village and reasons why their conditions changed over time. The trend analysis looks at every livelihood factor separately. The villagers score for every year and every livelihood factor in a separate box in

the table. The scale for the scoring ranges from 0-5 and can easily be done by placing stones or seeds etc. If the villagers place no stone, the situation for the livelihood factor in the respective year was the worst possible. Placing five stones means the best possible situation.

Comments about and reasons for the scoring are written down in the respective boxes of the table. If the condition of a livelihood factor changed during the time period, the reasons for the change are also noted in the boxes. The trend analysis should reflect the village situation as a whole. Therefore all group members should actively participate.

After the exercise is finished this group joins the other group that was working on the livelihood matrix. The results of each group are presented and shortly discussed.

**Please note:**

- Guiding questions:
    - How was the situation for this livelihood factor in the year…?
    - Why was the situation like that?
    - Did the situation change in the following year? Did it get better or was it worse? Why?
- Ensure a continuous discussion with participation of all group members
- Write remarks immediately into the boxes
- Ensure that the scoring reflects the village situation and not the perspective of individuals
- Motivate all group members to give their opinion by handing over the stones to the villagers
- Make sure that the discussion is not dominated by only a few people
- At the end of the exercise note the number of stones in each box

## Step 4: Livelihood Matrix Scoring

**Objective:** Identify the interrelations between different livelihood factors

| | |
|---|---|
| **Material used:** | paper sheets, pens, stones |
| **Material prepared:** | prepared sheet with livelihood matrix scoring table where the eight livelihood factors are inserted after prioritisation |
| **Group composition:** | one mixed group (half of major village stakeholders and half of members of Most Vulnerable Households List) |
| **Group size:** | 7-10 people |
| **Time frame:** | 60 minutes |

**Description (see** Figure 13**):**

At this point each of these two newly mixed groups is working on their separate exercise: one group on trend analysis (see previous step), and the other on livelihood matrix scoring.

The livelihood matrix scoring is an important step of the methodology as it evaluates the relationships between the different livelihood factors as well as the strength of the relationship. These scores are the basis used to identify crucial factors or, in other words, those which mainly influence the village situation.

The livelihood matrix scoring is a complex exercise and needs thorough explanation. The villagers place stones in the boxes to score for interrelations and strength of relations between different livelihood factors. There are three possibilities to score for the influence of the livelihood factors on each other: no stone (0) if there is no influence of one livelihood factor on another, one stone (1) if there is only a medium influence and two stones (2) if there is a high influence. The influences can either be positive or negative. The facilitators start with the most important livelihood factor in the first row and ask the villagers how this factor influences the other livelihood factors placed in the columns one by one. The remarks of the scoring are written down in the cells of the matrix. The same procedure is applied for all other livelihood factors row by row until all livelihood factors have been compared with all others.

After the exercise is finished, the two groups join together again and the results of each group (trend analysis and livelihood matrix scoring) are presented in plenary and shortly discussed.

**Please note:**

- Guiding questions:
    - Is there a connection between livelihood factor x (factors in the row) and livelihood factor y (factors in the column)?
    - If yes, what is the relation?
    - How does … (e.g., quality of road) – (in the row) influence/change … (e.g., human health) – (in the column)?
    - Why do you think there is an influence? Are you sure about that?
- Ensure a continuous discussion with participation of all group members
- Motivate all group members to give their opinion
- Make sure that the discussion is not dominated by only a few people
- Name the livelihood factors while asking
- Write remarks immediately into the cells
- State clearly that it is no problem if the people do not see a relation between two livelihood factors
- If points do not seem logical, the facilitators should ask for further explanations
- Mark positive or negative results differently (red pen, black pen)
- Fill the number of stones with markers in the cells after the end of the exercise

## Analysis I: Systemic Appraisal

**Objective:** Analytical step to analyse data obtained, to identify crucial factors and to plan the second phase of the data collection

| | |
|---|---|
| **Material used:** | paper sheets, pens, cards, timelines, trend analysis, livelihood matrix |
| **Group composition:** | survey team |
| **Time frame:** | 60 minutes |

**Description** (see Figure 13 and Figure 14):

After the first phase of data collection has ended, an analytical step has to be conducted to analyse the results of the first phase. The major aim is to identify the crucial livelihood factors which have a high influence on the village situation and to prepare the steps for the second phase.

The first analytical step to be conducted is the identification of crucial factors. In the chart of the livelihood matrix scoring the sums for the influences each livelihood factor has on all others (summing the number of stones for each row), being the active sum, is calculated. After this the sum of the number of stones in each row is calculated, being the passive sum, describing the amount to which a certain livelihood factor is influenced by all others. Finally, both sums for one livelihood factor are multiplied. This way, the livelihood factors with the highest active/passive sum relation can be identified.

After this, all livelihood factors are placed into a new chart with the active sum being the horizontal axis and the passive sum being the vertical axis. After placing the livelihood factors, the chart is divided into four quadrants. The sector on the top right part includes the most active and passive factors, the sector on the bottom right side includes all factors that are highly influenced by other factors but are not influencing others very much. The sector on the top left side describes factors which are highly influencing other factors, but themselves are not being influenced by others very much.

All livelihood factors are then integrated in the coordinate system according to their value for active and passive sum. The most important factors are those which are influencing others on a very high level and at the same time are influ-

enced by other factors on a very high level as well. Those factors are called crucial factors as they are very important in determining the livelihood situation in the village. Project activities addressing these factors should take into account how they influence these crucial factors. In certain cases, a lot of crucial factors (in the top right quadrant) can be identified. In this case, the number of crucial factors chosen has been reduced to approximately three factors which had the highest sums from among all of the other factors because this number can still be correlated with the perceived influence of project activities.

After the data analysis from the first phase is finished, the preparation for the second phase can be undertaken. One part of the second phase is to relate the trend of livelihood factors to effects of activities conducted by the project. Depending on the objective of the survey and available resources, the number of activities assessed by the survey team is determined. In the case of the PFSM study, the activities were reduced to four. To find out about suitable activities, a second look needs to be taken at the timeline. If there were activities already mentioned that were implemented by the project, these activities are chosen. Apart from this, existing project databases are checked to get an overview of all activities implemented and to be able to select a variety of different activities related to the study objective.

The analysis phase is also used to prepare the sheets and matrixes for the activity introduction and the activity matrix scoring (step 5 and 6).

In addition, the data that was analysed needs to be crosschecked. Therefore, questions and issues to be checked during a village walk (step 7) need to be written down. The detailed explanation for these steps can be found in the next Chapter.

### 9.3.3 Phase II: Analysis of Project Activity Effects

#### Step 5 and 6: Activity Introduction and Activity Matrix Scoring

**Objective:** Find out about relations between the livelihood factors, especially the crucial factors and the outcomes and impacts of the activities conducted in the village on these livelihood factors

| | |
|---|---|
| **Material used:** | paper sheets, pens, stones |
| **Material prepared:** | activity list, two sheets of activity matrix scoring |
| **Group composition:** | start with plenary discussion, later two parallel mixed groups according to the number of project beneficiaries etc. for activity matrix scoring |
| **Group size:** | 7-10 people each in parallel groups |
| **Time frame:** | 80 minutes |

**Description** (see Figure 16 and Figure 17)**:**

The activity introduction and the activity matrix are tools that help to assess the effects of project activities on the identified livelihood factors. The activities have to be chosen before this exercise during the first analytical step. The four selected activities are then written down into a table. Two empty columns and two empty rows are added, the so-called activity list. Furthermore, two different sheets, the activity matrixes are prepared.

During the analysis of the data from the first day, four activities were chosen that were conducted in the village. These four activities are now presented to the villagers in a plenary group meeting. In addition, the villagers chose two more activities which they think are important for their village's development.

To find out about additional activities which the villagers think are important, they are asked what other activities which took place in the village did have influence on the livelihood factors and the village situation from their perspective. It is important that they are asked for activities which had effects for the whole village. The decision about which activities are chosen has to be made by all villagers. The maximum number of these added activities depends on the study objective and available resources. In the case of the PFSM study it was only two. This step

can also be dropped completely and only the respective project activities be taken into account.

The next step is the activity matrix scoring. The prepared matrices are presented to the villagers and it is explained that the aim of this exercise is to find out about effects of these activities on the livelihood factors identified during the first day. The exercise is conducted in two parallel groups. The group division is a bit complex.

During the analytical step, an activity list was prepared that contains the project activities selected for the village and where the additional activities are added. The list contains three columns behind every activity which are labelled: Beneficiaries, Know about, Interested.

To get a full picture of a project activity like “rice training” it is important to ask beneficiaries about it, for example villagers, who participated in the “rice training”. To find out if the effects of the activity did affect people who did not participate, people who know about the activity (e.g., rice training) are included in the group which is conducting the activity matrix scoring for the activity (e.g., rice training) as well. If there are not enough participants or people who know about it, people who are interested in the activity should be asked as well.

To set up the subgroups, three activities are assigned to each subgroup. After this all participants are assigned to one of the subgroups with a focus on maximising the number of beneficiaries for the respective activities. Both groups work in parallel and carry out a matrix scoring exercise of three activities so that all six activities are scored.

The two groups conduct the activity matrix. The scoring for the activity matrix is similar to the one of the livelihood matrix: no stone (0), if the activity did not have any influence on the livelihood factor, one stone (1) if the effect was medium, two stones (2) if the effect was high. The villagers place stones in the cells for each livelihood factor. After the matrix for the first activity has been filled out, ask the villagers about additional positive and/or negative effects of the activity that had not yet been mentioned or covered by the livelihood factors and document them on the sheet after the scoring is finished.

After both groups are finished with one activity, the scoring is carried out for each of the next activities one after another.

**Please note:**

- Guiding question for the selection of additional activities:
    - What are other important activities that changed the village situation (and had influence on the livelihood factors)?
- Make sure that the focus is not on individual but on group activities
- Include all additional activities that were mentioned in the group discussion and prioritises them
- Encourage people that are not very active to give their opinion on the subject
- Ensure that the people who know about certain activities do not only know that the activity exists but have more specific information
- Include people who are interested only if there are not enough beneficiaries or people who know about it (same for know about, only if not enough beneficiaries)
- Guiding questions for the activity matrix:
    - What did the activity really change in the village?
    - Do you think that it changed or did things really change?
    - How did this activity influence that livelihood factor?
- Take note of the remarks in the cells
- If a scoring does not seem to be logical, crosscheck it (compare it with livelihood matrix and trend analysis)
- Note positive as well as negative additional effects in the empty row on the activity matrix sheet

## Step 7: Crosschecking: Village Walk

**Objective:** Cross check data from the first phase and gain additional data

| | |
|---|---|
| **Material used:** | paper, pen |
| **Material prepared:** | checklist with questions related to livelihood factors and other data from first phase |
| **Group composition:** | 7-10 or more people |
| **Time frame:** | 45-60 minutes |

**Description:**

The village walk is the last step of data collection. This step is needed to cross-check and verify data that was collected in phase one and two. After the analysis of the data there may still be open questions or things that should be verified. Therefore, a checklist is prepared to clarify some facts. A closer look is taken at the trend analysis, the livelihood matrix, the timeline and the activities selected.

The village walk is conducted at the end of the exercise with a cross-section of the participants. This way, questions that are left open after the activity matrix scoring can be checked. The group should include men as well as women. A closer look should be taken at certain facts and locations related to livelihood factors, for example an irrigation scheme that is not working or the road system of the village. If these places are visited, the villagers are asked about the development over time and the situation now. Write down the answers to compare them with the results of the other tools of the methodology.

**Please note:**

- Always ask open questions
- Ask the group and not individuals
- Ask about the benefits of the activities
- If facts come out in a different way compared to the other steps of the methodology, ask the villagers to explain
- Ask about certain activities conducted in the village and their impacts
- If possible, look for results of the activities (e.g., well, compost, SRI fields)
- Ask how the knowledge that was gained for example in certain trainings is spread, communicated to other villagers (if it is communicated)

## Analysis II: Documentation in Form of Development Profiles

**Objective:** Analyse and present all data collected during the field phase in a simple way

| | |
|---|---|
| **Material used:** | ideally computer, if not available, use paper sheets, pens, cards, timeline, systemic appraisal, livelihood matrix, trend analysis, activity matrix |
| **Group composition:** | survey team |
| **Time frame:** | 120 minutes |

**Description** (see Figure 25):

The Development Profile is the final analysis tool for the village level that combines all the data collected during the village phase including the first analytical step. The Development Profile includes the trend of the different livelihood factors as well as the influence of the activities on the different livelihood factors. All descriptions, remarks etc. should be as short and comprehensive as possible.

Based on the villagers' trend analysis, the judgement about the trend for each livelihood factor is made. It can either be negative, neutral or positive. With regard to the trend analysis sheet, a trend is very negative if the situation decreases from a high level (4-5 points/stones) over a longer period of time to a very low level (0-1 points/stones). A trend is very positive if the trend increases from a low level to a high level (from 0-1 point/stone to 4-5 points/stones). If there are changes of the situation that differ less than two points/stones over a longer time period, the trend is either negative (-) or positive (+). If the scoring does not change at all over the period of time or only by one stone the trend is considered as stable and neutral. The remarks column describes the point from where the trend started, if it was rather bad or good and why significant changes occurred as well as reasons for changes which cannot be linked to an activity. Important facts collected during timeline, trend analysis, livelihood matrix and village walk should be included here as well as the average trend over the survey period.

The "activity influence" uses the same scoring the villagers chose in the activity matrix (0=no influence, 1=medium influence, 2=strong influence). The influence is further described in the "remarks" section as well as summary of the remarks that were given by the villagers about why the influence is either strong or weak.

Under “conclusions” a kind of analysis of the activities conducted regarding the different livelihood factors is given. What is the result of the activity regarding a certain livelihood factor? If a trend is bad but the influence of a livelihood factor is very positive, the reason for this can be added here.

The “note” cells refer to additional observations and conclusions that were made in context with the activities but could not be mentioned there. Furthermore, the conclusions regarding the activities are summarised there. They include what was done by the project and what the villagers thought about it.

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This methodology manual includes several steps that were conducted by the PFSM Team during the field survey. The time frame presented for the tools is a result of the PFSM experiences and may only apply to the Cambodian situation. It might need to be adapted for other purposes or regions according to the specific circumstances where the methodology is used. A summary of the different steps and their objectives is provided in the following table.

**Table 10: Summary of Methodological Sequence (Source: PFSM 2005)**

| **Steps** | **Time** | **Location** | **Purpose** |
|---|---|---|---|
| **Phase 0 Preparation Phase** | | | |
| Sampling | 2 days | office | Selection of administrative level for methodology and study area |
| Selection and training of survey team | 2-4 days | office | Selection of team members with suitable background for study purpose; Training of survey team(s) on methodology especially regarding facilitation |

| | | | |
|---|---|---|---|
| Organisation of field phase | 2 days | office | Preparation of time schedule for village visit, information of test villages and local authorities, selection of participants of focus group discussions, organisation of transport and accommodation |
| Pre-test | 1-2 days | test village | Testing and adapting the methodology to the context |
| **Phase I Analysis of the Village Situation** | | | |
| Introduction | 15 min | village | Introduction of study team and presentation of visit purpose |
| Timeline | 45 min | village | "Starter tool" to find out about village situation |
| Collection and Prioritisation of Livelihood Factors | 50 min | village | Define factors important for the livelihood situation in the village |
| Break | 15 min | village | Material preparation for next exercise |
| Trend Analysis | 60 min | village | Find out about development of selected livelihood factors |
| Livelihood Matrix | 60 min | village | Identify relations between different livelihood factors |
| Systemic Appraisal and Activity Definition | 60 min | office | Analysis of data of the first day and preparation for the second day |
| **Phase II Assessment of Interventions' Influences** | | | |
| Activity Introduction and Activity Matrix | 80 min | village | Determine influence of development activities on livelihood factors |
| Transect Walk | 60 min | village | Cross-check of data |
| Development Profile | 120 min | office | Final analysis, aggregation and presentation of data |

## 9.4 List of Resource Persons and Interview Partners

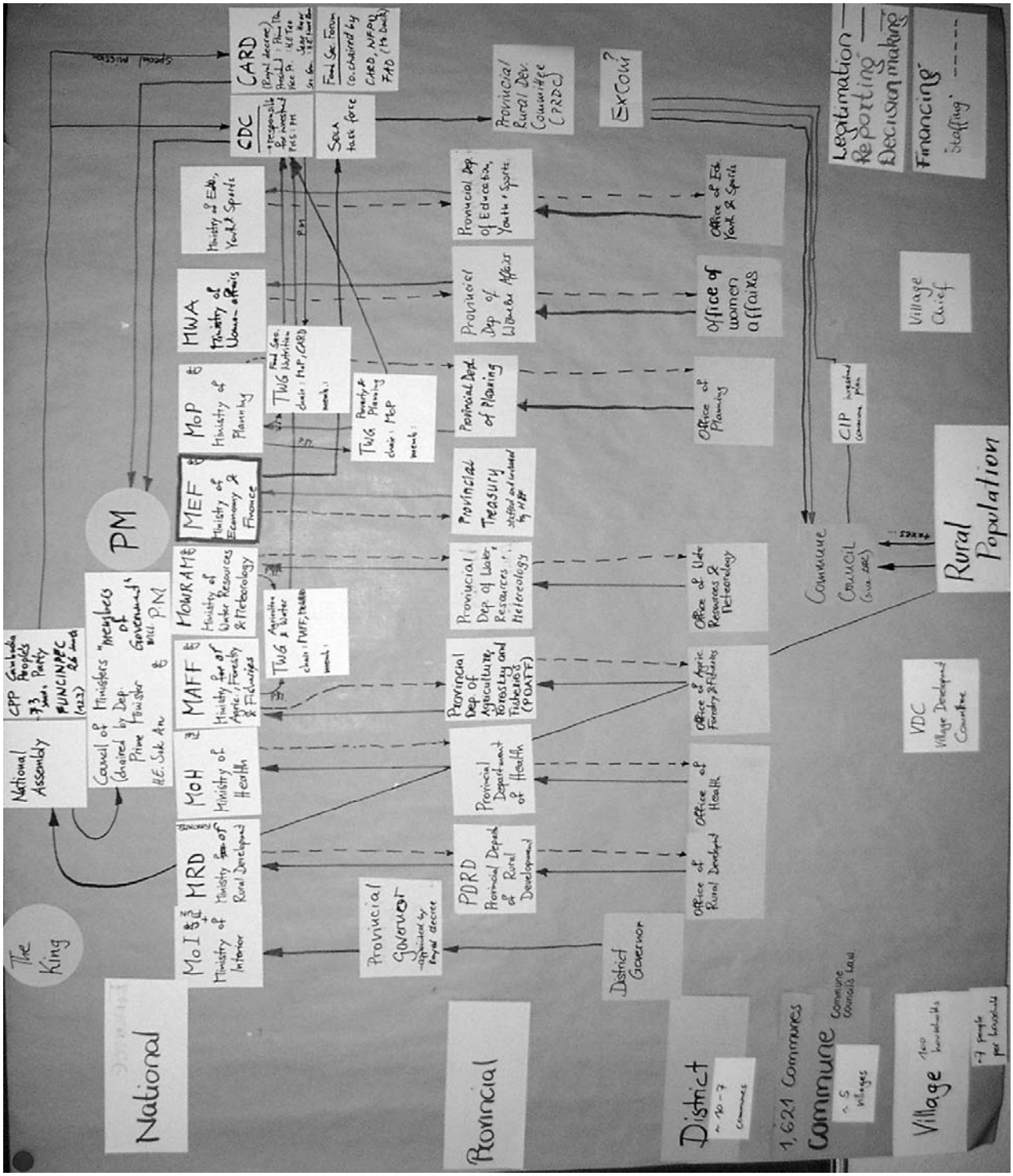
**Table 11: Resource Persons and Interview Partners (Source: PFSM 2005)**

| Organisation | Interview Partner | Function | Place |
|---|---|---|---|
| CARD | H. E. Nouv Kanun | Secretary General | Phnom Penh |
| | Srun Darith | Director of Planning and International Cooperation | Berlin, Phnom Penh |
| FAO | Kimoto Tsukasa | FAO Representative in Cambodia | Phnom Penh |
| | Sao Sopheap | Assistant FAO Representative (Programme) | Phnom Penh |
| | Kamina Ntenda Musangu | Officer, Agricultural Development and Food Security | Phnom Penh |
| | Des A. Fortes | Administrative Officer | Phnom Penh |
| | Anna Beloff | Natural Resource Management Officer | Phnom Penh |
| FAO Headquarters | Günther Feiler | Agricultural Policy Support Officer, Agricultural Policy Support Service, Policy Assistance Division | Berlin |
| | Dagmar Kunze | Food Security Officer M&E, Special Programme for Food Security | Berlin |
| | Kevin D. Gallagher | Senior Programme Development Officer, Special Programme for Food Security | Phnom Penh |
| | Mario Acunzo | Communication for Development Officer | Phnom Penh |
| GTZ-RDP | Angelika Fleddermann | Team leader/Senior Advisor, Rural Development Programme | Berlin, Phnom Penh, Kampot |
| | Georg Deichert | Advisor Agriculture, Natural Resource Management and M&E | Berlin, Phnom Penh, Kampot |
| | Ten Samrach | Advisor for Training and for CBRDP Monitoring & Evaluation | Phnom Penh, Kampot |
| | Jean Yves Dekeister | Provincial Coordinator | Kampot |
| GTZ-FSNPSP | Peter Kaufmann | Team leader | Phnom Penh |
| | Julian Hansen | Deputy Team leader, Food Security and Nutrition Policy Support Project | Phnom Penh |
| | Sek Sopheanarith | Nutrition Advisor, Food Security and Nutrition Policy Support Project | Phnom Penh |
| MAFF | Mak Soeun | Deputy Director, Department of Planning, Statistics and International Cooperation | Phnom Penh |
| | Kean Sophea | National team leader, National Programme for Food Security and Poverty Reduction | Berlin, Phnom Penh |
| MRD | Chan Darong | Deputy Director General of Technical Affairs, Director of CBRDP/IFAD | Phnom Penh |
| MoP | Chea Chatum | Director Social Planning Department | Phnom Penh |
| | Ms. Heang Siekly | Deputy Director General | Phnom Penh |
| MoI, DOLA | H. E. Leng Vy | Deputy Director General | Phnom Penh |
| CDC | Rith Vuthy | Director Aid Coordination | Phnom Penh |
| | Steffen Johnson | Advisor, Natural Resources and Environment Programme | Phnom Penh |

| | | | |
|---|---|---|---|
| PDRD<br>PRDC | Tun Chantha | Director of Department of Planning and Permanent Member of PRDC's ExCom | Kampot |
| ExCom/RDP | Tuy Samram | Agriculture Senior Project Officer | Kampot |
| PLAU | Ms. Lam Shan | | Kampot |
| PDAF | Chan Chesda | Director of Department of Agriculture | Kampot |
| | Meuong Moni Rotha | Deputy Director and Provincial Team leader, FSPR | Kampot |
| | Bun Narin | Component Manager CBRDP | Kampot |
| | Khem Ponna | Office of Agricultural Extension, Acting Chief | Kampot |
| DOA | Sem Sambath<br>Heng Buntheng | DOT vet, livestock<br>DOT agriculture | Village Taten |
| | Bun Dat | Officer | Village Rovieng |
| | Suos Eng | DFT water/irrigation | Village Rovieng |
| CC/MoI | Ouk Ou | CC Clerk, Commune Trapeang Reang | Village Rovieng |
| CC | Yung Kheang | CC member, Commune Chres | Village Taten |
| VDC | Khuth Sam Oeun | Village member Taten | Village Taten |
| World Bank | Tim Conway | Poverty Specialist | Phnom Penh |
| | Chan Sophal | Poverty Specialist | Phnom Penh |
| ADB | Paul Van Im | Program Officer Agriculture, Environment and Natural Resources | Phnom Penh |
| UNDP, SEILA/PLG | Luc Spyckerelle | M&E and Poverty Advisor | Phnom Penh |
| UNDP, PLG | Keang Sethavuth | Chief of Programme Operation Unit | Phnom Penh |
| | Chhor Jan Sophal | Management Advisor | Phnom Penh |
| WFP | Mari Honjo | Programme Officer – JPO | Phnom Penh |
| GTZ/GFA | David Ayres | GTZ Chief Technical Advisor, GFA Consultant | Phnom Penh |
| GTZ-Decentralization | Shelley Flam | Capacity Building, Civil Society | Phnom Penh |
| | Lydia Parusol | Consultant | Phnom Penh |
| DED | Simone Roberta Schiller | Agricultural Advisor<br>GTZ RDP-PDAF Kampot | Phnom Penh, Kampot |
| | Anne Perez-Leroux | Civil Society Advisor, GTZ RDP-PDRD Kampot | Phnom Penh, Kampot |
| | Edwin de Korte | Technical Advisor, Faculty of Agronomy of the Royal University of Agriculture | Phnom Penh |
| AusAID | Fleur Davies | Counsellor, Development Cooperation | Phnom Penh |
| CDRI | Brett Ballard | Technical Advisor and Research, Department Poverty and Rural Development | Phnom Penh |
| | Kim Sedara | Research Fellow and PhD Candidate, Department Decentralization | Phnom Penh |
| | Romduol Huy | Senior Programme Officer of the Centre for Peace and Development | Phnom Penh |
| Concern | Mark Munoz | Assistant Country Director | Phnom Penh |

## 9.5 Policy Chain Diagram

**Figure 39: Policy Chain Diagram (Source: PFSM 2005)**



## 9.6 Rainbow Venn Diagrams

**Figure 40: Natural Assets (Source: PFSM 2005)**

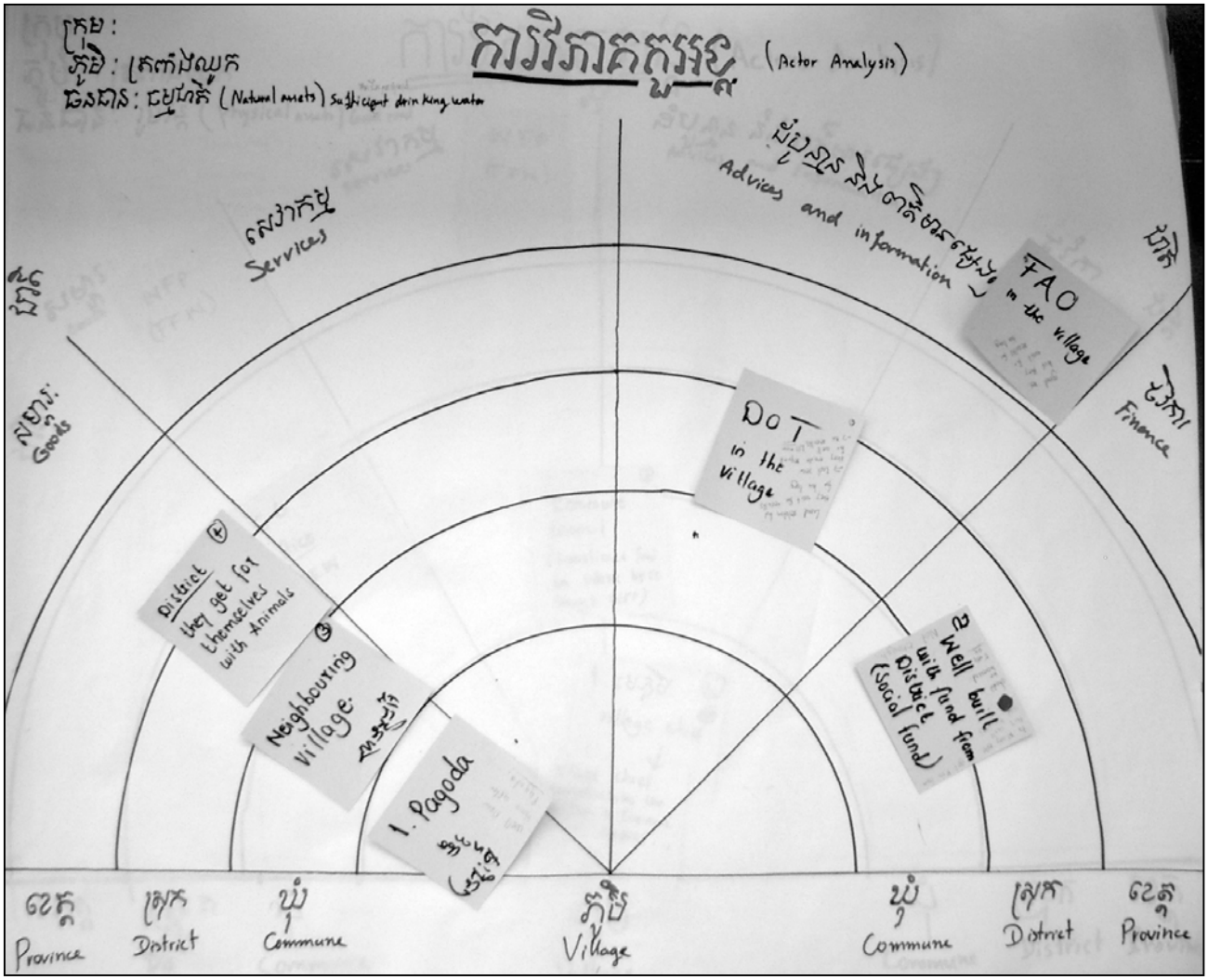


**Figure 41: Social Assets (Source: PFSM 2005)**

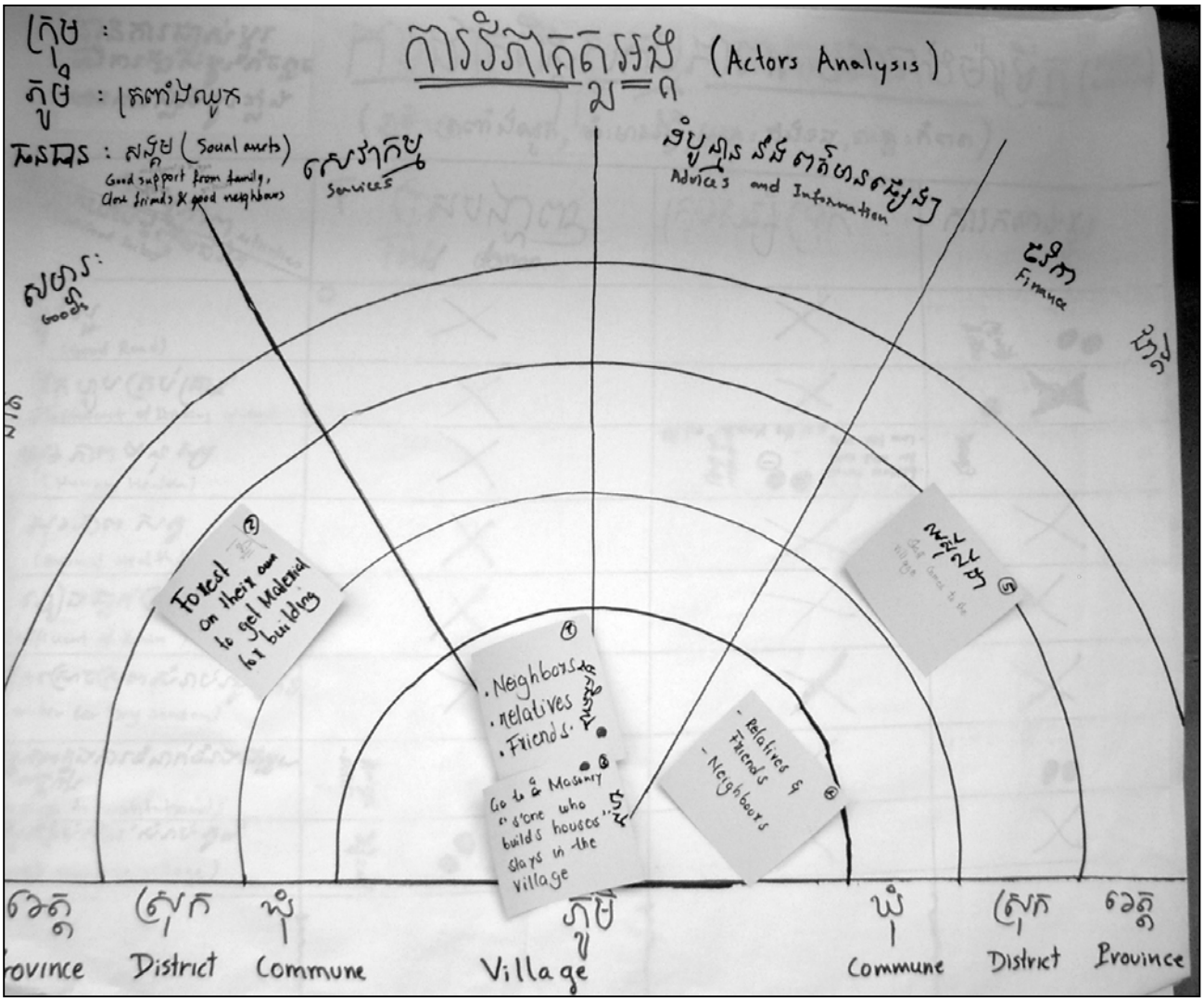


**Figure 42: Physical Assets (Source: PFSM 2005)**

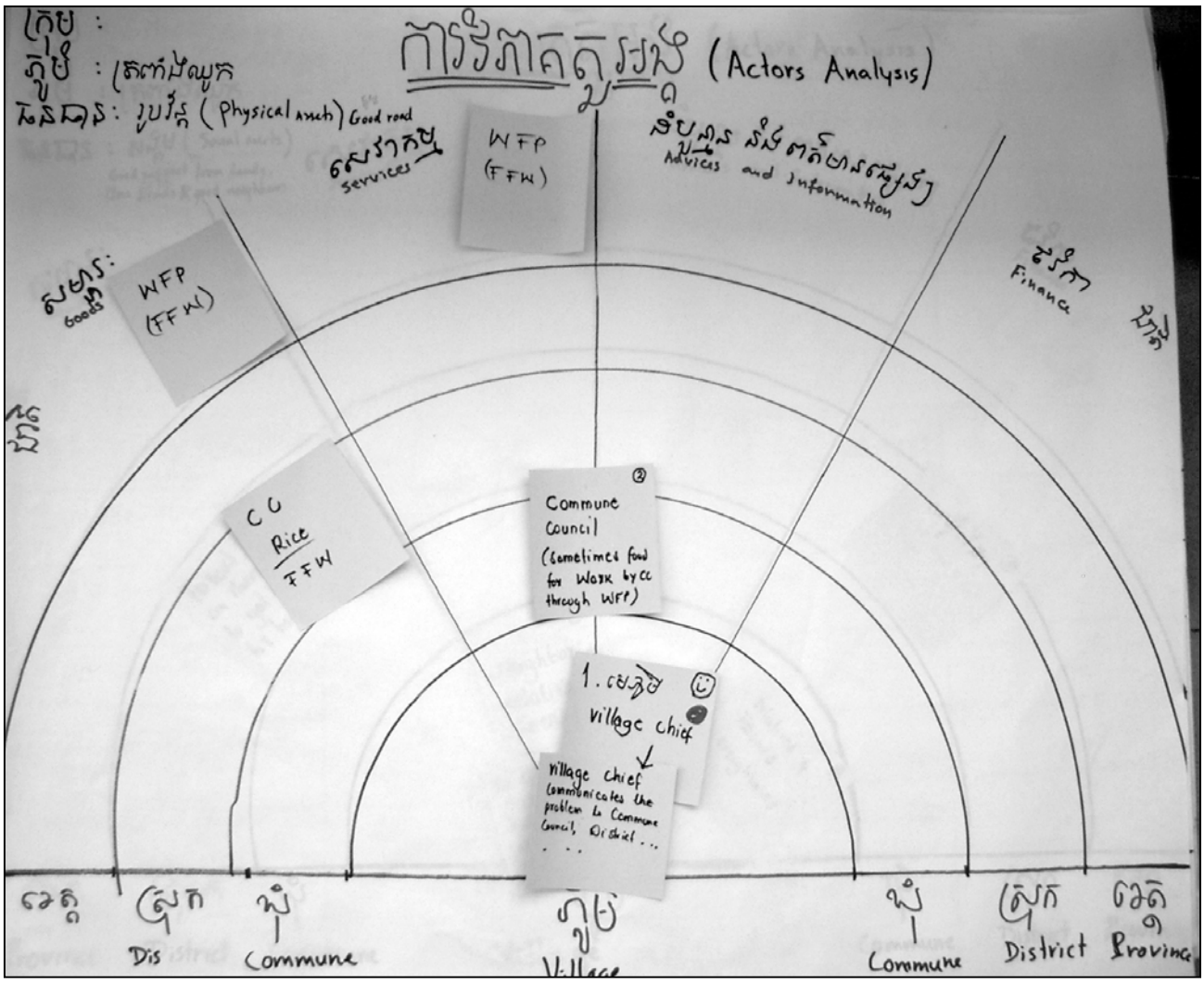
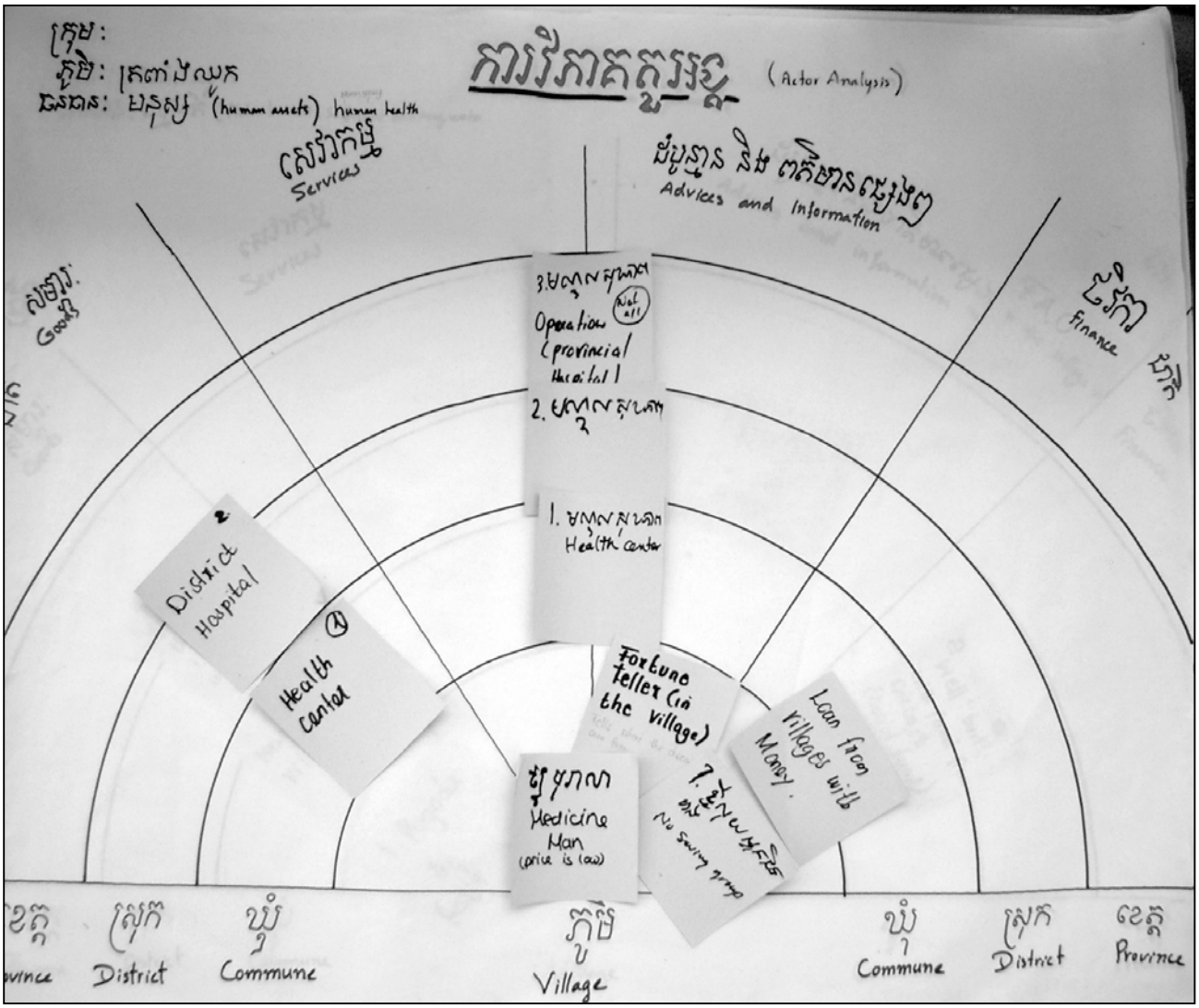


**Figure 43: Human Assets (Source: PFSM 2005)**



## 9.7 Livelihood Assets Used by PFSM

The list below outlines the five types of assets according to the sustainable livelihood framework by DFID as used by the PFSM team.

**Human assets**

- Education
- Vocational skills
- Security
- Peace
- Knowledge
- Children's health
- Personal health
- Capacity to work
- Good nutrition

**Social assets**

- Relationships of trust and mutual support
    - Good support from family
    - Close friends and good neighbours
    - Taking part in village feasts ceremonies and feasts
- Formal and informal groups
- Common rules and sanctions
- Collective representation
- Leadership
- Taking part in elections
- Good CBOs operating in the village (groups)
- Access to institutions (NGOs)

**Physical assets**

- Infrastructure
- Good roads
- Good quality housing  and secure shelter
- Water supply and sanitation
- Equipment
- Transport
- Tools and technology

- Tools and equipment for production
- Seed, fertiliser and pesticides
- Distance to market
- Acces to land
- Rice production (per capita and per hectar)
- Vegetable production

**Financial assets**

- Cash availability
- Household income
- Availability of credit – formal, informal, NGO
- Off-farm job
- Savings

**Natural assets**

- Access to land and forests
- Soil fertility
- Wood and energy resources
- Drinking water availability and quality
- Water for dry season for watering plants
- Timely and sufficient rains
- Availability of non-timber forest products

## 9.8 Glossary

**Activities** Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs

**Complex systems** The term complex system formally refers to a system of many parts which are coupled in a nonlinear fashion. Because they are nonlinear, complex systems are more than the sum of their parts

**Deconcentration** "Administrative decentralisation" (Cohen and Peterson 1999) refers to delegation of tasks and transfer of authority from central government to sub-national governments, which can be seen as branches of the central government. … The sub-national governments … are not elected by the people but employed by sector ministries" (CDRI 2004: 20).

**Devolution** "Political decentralisation" (Conyers 1983) or "democratic decentralisation" (Manor 2003). "[D]evolution is often seen as a more real form of decentralisation in which local people, through elected representatives, are given power to decide how problems should be dealt with and what the priorities should be" (CDRI 2004: 20).

**Direct benefit** Observed positive development changes that show a causal relationship with the project

**Evaluation** The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program.

| | |
|---|---|
| **Impact** | Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended |
| **Input** | The financial, human, and material resources used for a development intervention |
| **Managing for Development Results** | Management strategy focused on development performance and on sustainable improvements in country outcomes. It provides a coherent framework for development effectiveness in which performance information is used for improved decision-making, and it includes practical tools for strategic planning, risk management, progress monitoring, and outcome evaluation |
| **Monitoring** | A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. |
| **Organic law** | "… the national decentralization and deconcentration strategy …" "The law is [also] a basic legal framework for the implementation of decentralization and deconcentration strategy" (RGC 2005b:2). |
| **Outcome** | The likely or achieved short-term and medium-term effects of an intervention's outputs |
| **Output** | The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes |
| **Results** | Output, outcome or impact of a development intervention (intended or unintended, positive or negative) |

| | |
|---|---|
| **Results chain** | The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the results chain. |
| **Results-Based Management** | A management strategy focusing on performance and achievement of outputs, outcomes and impacts. |
| **System dynamics (network thinking)** | System dynamics is a methodology developed for studying and managing complex feedback systems, such as one finds in business and other social systems. The concept was developed by Professor Jay W. Forrester at Massachussetts Institute of Technology in the early 1960s |
| **Use of output** | Utilisation of products, goods and services provided by the project |

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